

Contract No. 53-3198-2-007

STATE AUTOMATION SYSTEMS STUDY

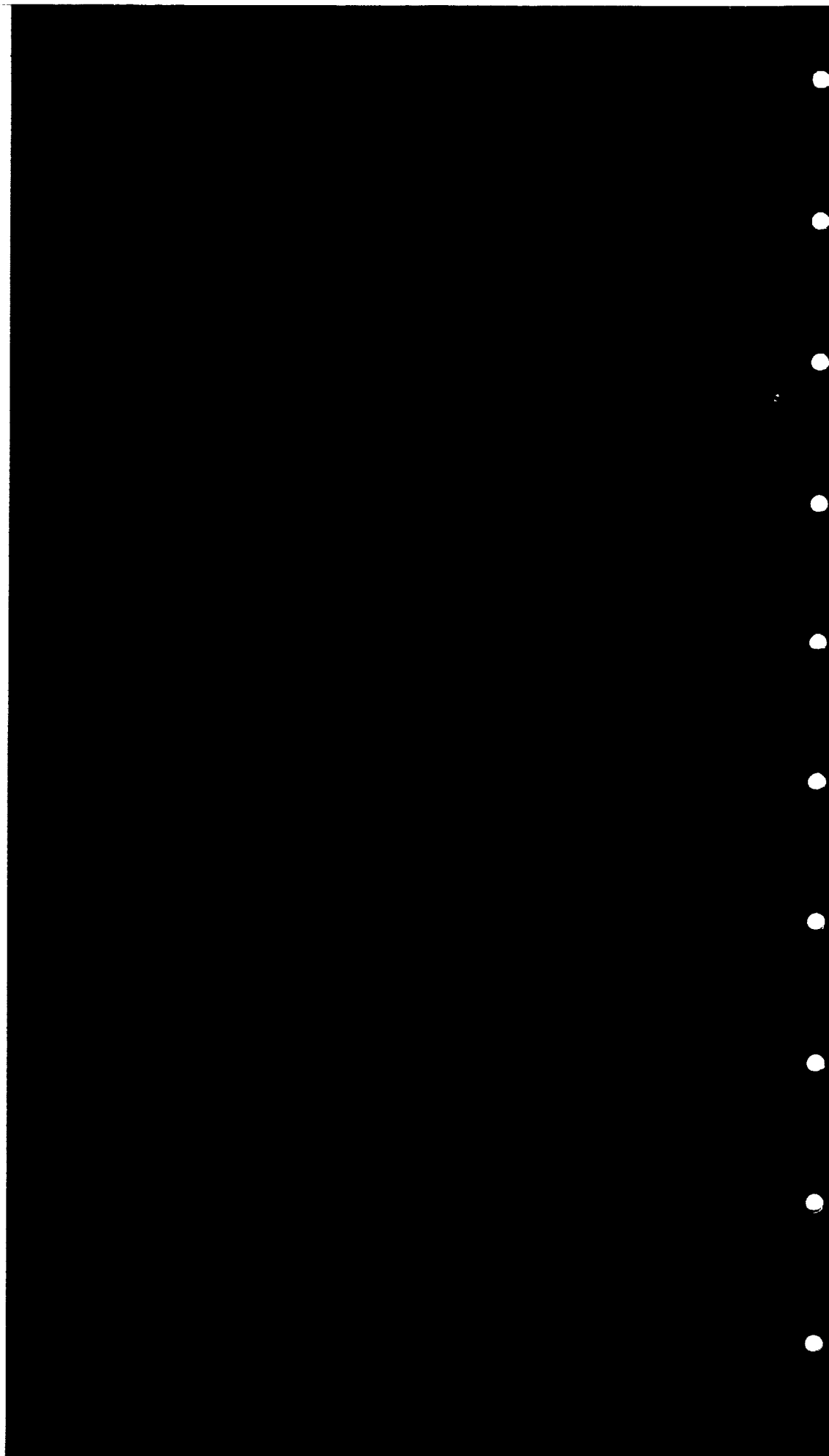
FINAL REPORT DRAFT

VOLUME II - ANALYTICAL PRESENTATION OF STATE DATA

September 30, 1994

Prepared for:

U.S. Department of Agriculture
Food and Nutrition Service
3101 Park Center Drive, Room 914
Alexandria, Virginia 22302



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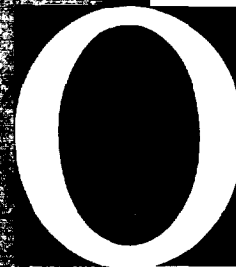
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THE ORKANI
CORPORATION

Silver Spring, Maryland

STATE AUTOMATION SYSTEMS STUDY

FINAL REPORT DRAFT

VOLUME II

**ANALYTICAL PRESENTATION
OF STATE DATA**

SEPTEMBER 30, 1994

Prepared for:

**Diana Perez, COTR
Office of Analysis and Evaluation
Food and Nutrition Service
3101 Park Center Drive
Alexandria, VA 22302**

FNS Contract No. 53-3109-2-007

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I. INTRODUCTION

A. BACKGROUND

This volume of the report develops guidelines for Food and Nutrition Service (FNS) review of system development efforts. These guidelines focus on FNS oversight and monitoring as well as determining the reasonableness of State funding requests. The study also develops standards for State automation, including standards for the development of automated systems and cost accounting and cost allocation. FNS can use the study findings to reevaluate the current standards and procedures related to State automation efforts in order to increase the efficiency and effectiveness of State automated systems. The study objectives, described below, are intended to provide insights about State automation.

To develop the guidelines and standards for State Food Stamp Program (FSP) automation, information was collected from States to identify those factors that affected the following areas:

- Success of system transfers
- Success of system development efforts
- Development costs
- Operational costs
- Ability to meet FSP needs
- Degree of automation
- Level of integration
- FNS monitoring and oversight

Data were collected from five data sources -- FNS headquarters monthly and quarterly reports, questionnaires sent to State personnel, State personnel interviews conducted in all 50 States and the District of Columbia, State Advanced Planning Document (APD) documentation, and survey forms completed by randomly selected eligibility workers and eligibility worker supervisors within each State.

The data collection period for the State Automation Systems Study began in June 1992 and continued through December 1993. Historical information was obtained from APDs, and correspondence provided by State staff. State personnel working in the Food Stamp Program, automated data processing (ADP) or management information systems (MIS) groups, and State data centers were interviewed during the visit to each State.

Volume II addresses the technical findings of our study of State automated systems in support of the Food Stamp Program. It is organized to address each of the seven research objectives identified at the beginning of the State Automation Systems Study:

- Current degree and state of systems development
- State system development processes
- System transfers
- Level of automation and FSP needs
- State funding requests for automation

- Operational cost accounting and cost control measures
- Implementation of regulatory changes
- Level of automation and FSP needs

The remainder of Volume II contains six chapters that address all of the above items. Discussions about State funding requests and operational costs are combined into a single chapter, Chapter V - State Automation Costs and Cost Allocation Methodologies.

II. CURRENT DEGREE OF AUTOMATION AND STATE OF DEVELOPMENT

A. BACKGROUND

This chapter discusses the degree of Food Stamp Program (FSP) automation and stage of system development for each State. The information was collected during a 16-month period, from August 1992, when the first pretest site visit occurred in South Carolina, through December 1993.

A.1 Degree of Automation

For this analysis the degree of automation was determined based on (a) the level of functionality in each State's system, and (b) the level of system and program integration.

The systems reviews focused on those system features that seemed to have the greatest potential for improving caseworker effectiveness and efficiency. A review of system functionality in terms of compliance with FSP Model Plan Requirements was not a part of these reviews.

System demonstrations were conducted in the State agency central offices on either a test database or in the production system. Examination of the system in a test environment enabled the reviewer to assess some aspects of system functionality that could not have been viewed in a production environment. In many cases, the demonstrators would only be able to *describe* how a function worked, but could not *show* how the function worked due to built in system security. Information on the level of automated functionality, therefore, had to be supplemented through staff discussions and the pre-visit questionnaires.

In adapting, transferring, or developing systems that meet FSP requirements, States have implemented a wide variety of automated systems and features to support their workers. As a result, some State systems may have more automated features than other States. For instance, when a client submits an application for assistance to the State office, one system may immediately perform a check for duplicate participation based on the name and Social Security number (SSN) of the applicant before any other application information has been entered. Another system may perform the first check for duplicate participation only after all application information has been entered into the system. While the FSP regulations only require that a State check for duplicate participation before a client is certified as being eligible to receive benefits, the system that is able to identify already existing clients before the new application has been entered into the system, is considered to be "more" automated because it performs the check before the worker has entered all of the application information.

Within each State, the automated features for major FSP functions were identified. In order to compare the level of automated functionality across all States, a scoring method was developed that would reflect the presence or absence of the feature and its relative importance to other features. For instance, a system that automatically mails all notices would be considered to be more automated than a system that automatically mails notices requested by the worker, and both would score higher than a system that has no automated notices. This permitted the *comparison* of State systems for each major functional area, such as eligibility determination. For instance, a weight of "1" would be given if a function was performed on-line versus a "0.5" in the function

was performed in a batch mode. This provided a mechanism for analyzing the relative level of automated functionality among many States within each functional area and for the overall system.

The second type of information needed to assess the degree of automation is level of integration. This relates to the number of separate systems needed to support the Food Stamp Program as well as the number of assistance programs that are served by the system or systems. As an example, a State that has one automated system that determines eligibility, processes claims, sends notices, and issues benefits for the FSP, Aid to Families with Dependent Children (AFDC), and Medicaid programs is considered more integrated than a State that utilizes multiple systems for all programs, or a State that utilizes one system for each program. A score is assigned to each State for the degree of integration

The scores for level of automated functionality and level of integration are then summed to reflect one total score to provide a mechanism for a comparative analysis of all States in terms of degree of automation.

A.2 Stage of Development

ADP development methodologies generally recognize the following stages of system development:

- **Planning Stage** - usually includes a feasibility study, alternatives analysis, requirements analysis, cost benefit analysis, conceptual design, and plans for system development and implementation. For State system development efforts, the planning stage may also include preparation of the Implementation APD, the RFP, proposal review, and selection of a contractor.
- **Development Stage** - preparation of a detailed system design, a detailed system architecture to include hardware and software specifications, coding, testing, and conversion.
- **Implementation Stage** - includes all of the activities discussed in the plans prepared during the development stage including conversion, pilot installation, and full installation.
- **Operational Stage** - Statewide processing, ongoing enhancements, hardware expansion, and system maintenance activities continue; accommodate changes in caseloads, system capacities and improvements in operational performance and efficiency.

Because there may be multiple systems within a State that support the Food Stamp Program, a single stage of development may not adequately describe the system status.

B. AUTOMATED FEATURES

We examined automated features of systems that support the FSP, and in the case of integrated systems, AFDC and Medicaid. To a lesser extent information was also gathered on the issuance

systems when they were a part of the ED/BC system. During the system demonstrations, the evaluation team reviewed the automated features checked off by program staff in the preliminary questionnaire. We examined automated features for the following major functions: application receipt, processing, verification, interviewing, sending notices, computer matching, monthly reporting (no longer required by FNS but continued by some States), eligibility determination, benefit calculation, claims collections, notices and alerts, issuance, and reporting.

In this chapter, we describe the relevance of the automated features that potentially reduce worker time spent on FSP tasks through increased efficiency and effectiveness. The actual findings associated with the automation review for each State can be found in Appendix A. Throughout the remainder of this chapter, reference is made to relevant tables, found in Appendix A.

B.1 Applicant Check In

Overview

Registration - The 30-day application processing standard is initiated when the application for food stamp benefits is filed with the appropriate food stamp office. An application can be filed as long as it contains the applicant's name and address and the signature of a responsible household member. Most States provide a pre-screening form that is used to determine the need for expedited benefits. States enter the name, address, and date of filing into the system in order to monitor the application processing timeframe required for completing the application, interviewing the applicant, and verifying the necessary information prior to certification. Many States refer to the automated support for filing an application as "registration." Registration can include a variety of activities:

- Registering the applicant and appropriate household members for work on the system
- Entering the available information on household members into the system
- Performing SSN enumeration for household members who do not have SSNs
- Scheduling an interview date
- Generating notices of scheduled interviews, required verifications, or notices for rescheduling interviews
- Identifying the need for expedited service
- Performing duplicate participation cross checks for FSP participants within the appropriate jurisdiction
- Monitoring the application processing standard

The full application may be entered before, during, or after the client interview is conducted. Registration of the application causes a number of system functions to occur in systems that are highly automated.

Duplicate Participation - FNS regulations require that automated systems should "crosscheck for duplicate cases for all household members by means of a comparison with food stamp records within the relevant jurisdiction."¹ FSP duplicate participation checks must be performed at certification, recertification, annually, and when a new household member is added. At a minimum, the check is to be performed on the name and SSN for each household member. If the SSN is not available, the State must do SSN enumeration. The date of birth and address are optional.

As duplicate participation checks are performed for AFDC and Medicaid, the check need not be limited to one assistance program or one system although it is more efficient if the worker is not required to access multiple systems to perform the check for all assistance programs. In determining the level of automated functionality, the breadth and depth of the search and whether the results are available on-line or off-line were considered. Table A-1 (Part A) in Appendix A, Application Log in Functionality - Check for Duplication Participation, shows the availability of the automated features in each State system that supports the Food Stamp Program.

When an FSP application is filed, only the applicant's name and address and the signature of a responsible member of the household or an authorized representative is required. Most States, however, will request and receive additional information from an applicant that will facilitate logging the application onto the system and conducting the duplicate participation search, since a name is usually not sufficient to perform a search (see Table A-1 (Part B), Data Elements Used in Duplicate Participation Search).

Many States have come to rely on the SSN as the primary element to log the application into the system and to perform the initial duplicate participation search. This is especially the case if the SSN is also used as the client identification number. Since the SSN is also used for other searches of State and Federal databases, the use of the SSN during the duplicate participation search was given more weight than the other data elements used by States, which were all given equal weights of less value than features in Table A-1 - Part A.

Many States prefer to obtain as much information as they can at the time an application is filed, and to perform any searches, whether for duplicate participation or for Income and Eligibility Verification System (IEVS) or other database matches, early in the applicant process. Any information that is available to the State can then be reviewed by the caseworker either before or at the time of the interview with the applicant. States, however, are prepared to process any

applicants that are filed with just a name and address.

Findings

In designing an efficient and effective system, the following features are important:

- **Duplicate entry of the same information should be avoided.** The system should provide for one-time entry of any client information used for the duplicate participation check regardless of the number of separate systems that are checked at the time. For instance, client/applicant name, birthday, and social security number could be entered once for a search of client cross-reference, FSP, AFDC, and/or Medicaid databases, if they are separate, and of other State agency databases containing information on employment, unemployment benefit receipt, motor vehicle registration, etc. This is especially important for States that still have separate systems (or subsystems) that support FSP, AFDC, and Medicaid programs.
- **Access to historical participation records at the time an application has been filed can save a worker considerable time.** During application filing, States access historical participation records in order to determine whether an individual (or household) has participated in the Food Stamp Program previously, and if so, how recently. If the system is integrated, information on prior participation in AFDC, Medicaid, and other assistance programs are also checked. If the historical record is still available on-line to the worker, the worker can either view the historical records or can transfer the information from the old record to the new applicant record. If the information is up to date, this will save the worker time and will provide useful information for determining the applicant's status or the potential for applicant fraud.
- **The usefulness of on-line access to recent historical declines with age.** Access to the historical records can be either on-line, off-line, or a combination of both. States with smaller caseloads may be able to maintain all historical records in an on-line mode for a longer period of time than States with larger caseloads, which often keep only the most recently inactive cases on-line, moving older inactive cases off-line. The off-line search may be performed either through an on-line request to conduct a batch search, or through paper-based requests for the older records. The older the record, the less current the information will be and the less useful during application processing. The older records must be maintained, however, and made available upon request in response to claims, fair hearings, and other potential legal liabilities (e.g., class action suits).
- **Carefully select and limit the information that is archived.** For instance, caseworker notes could be purged after a short time, but the payment history and case information may be indefinitely archived. The number of records, type of records, accessibility (on-line, off-line, or archived) can have an impact on the system architecture in terms of mainframe capacity, response time, the amount of direct access storage, etc.
- **Archived data is of value only when accessible to the worker.** For data that is archived or remains on-line, the current system must be able to access the information and make it available to workers upon request. This may be difficult for states that have implemented new systems that are considerably different from their prior systems,

sometimes requiring the State to maintain some version of the older system in order to access the older records.

Summary

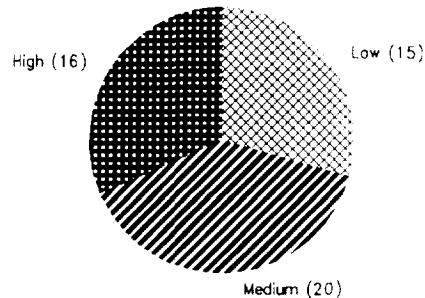
Registration is not a required FSP function. Although an efficient registration function is beneficial to the smooth functioning of the application process, it is only a small component in the overall efficiency of FSP.

As shown in Figure 2.1, when all automated features for Application Log-In Functionality are considered for all States in terms of high, medium, and low degree of automation, there is an almost equal distribution among the three categories, with twenty States having a moderate level of automated functionality, sixteen with a high level of automated functionality, and fifteen that have a low level of automated functionality. The designation of high, medium, and low was based on the normal distribution. The total probability covered, from the lowest to the highest score, was divided into three parts for the three categories.

Most States (45) log the application into the terminal when the application is submitted, with 26 States entering some additional application information into the terminal. Twenty-seven State systems automatically assign the case number when the case is put into the system. Beyond these relatively basic features, there is only a small subset of State systems that provide additional helpful application log-in features.

All States used some automated features associated with duplicate participation check at the time of registration, but few offered the full range of automated duplicate participation features. In summary, 42 States utilize the full name to perform the search. The SSN for all household members was the second most frequently used search element, used by 39 States. Nineteen States continue to use a client ID number that is not the SSN.

Figure 2.1 Application Log-In Functionality Summary Scores



B.2 Applicant Interview

Overview

Completing the application form and putting the application information into the automated system is the first of a series of functions required to determine eligibility. The application may be completed by the client prior to the interview or it may be completed at the time of the interview. Information from the completed application may be completed at the time of receipt or after eligibility has been determined. Table A-2, Application Completion and Input of Application Information, in Appendix A, describes system features that perform these functions.

Findings

The optimal procedure for the applicant interview is to have it take place while the client application is completed interactively. This procedure eliminates the separate steps of the applicant filling out the application form, the form being entered into the ADP system, and the eligibility worker interviewing the applicant. The fewer steps an application has to go through, and the less paperwork involved, the more efficient the process. In this regard, electronic forms are more effective than paper forms as they require less processing time and fewer steps in the process.

The following actions can increase the efficiency and effectiveness of the interview process:

- Elimination of unnecessary paper to the degree possible. A system should eliminate the need for interim worksheets or turnaround documents.

Most States still require that an applicant complete a detailed paper application form. Many States that have interactive interviewing have a short form which the applicant signs, but others still require completion of the full application. Some local jurisdictions are experimenting with the use of multimedia technologies for applicants to enter the information directly into the system. The information is, of course, reviewed by a caseworker prior to determining eligibility and calculating benefits.

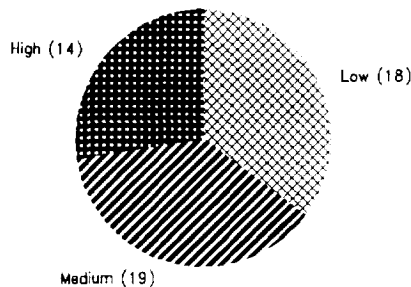
- Elimination of the printed case file. Some States are looking at electronic imaging possibilities to increase accessibility to the case file by other offices and to reduce file storage requirements (personnel, space, and equipment).
- Automated budgeting module for calculating monthly budgets based on format of original source data.
- Ability to make changes to active case files quickly without exiting from current work. For instance, if a worker receives notice of a change of mailing address for an existing case, the worker should be able to update the case file on-line without exiting from current work.
- Create one client record format that is used by all programs so that any changes to client data need be changed only one time, instead of making the change for every assistance program in which the individual is participating. This ensures that consistent changes and updates are made across all programs.

Summary

The level of automated functionality for systems supporting FSP related to completing the application information and entering the information into the system reflects a generally equal distribution of States that fall into the high, medium, and low categories of level of automation (see Figure 2.2). Eighteen States have a low level of automated functionality in this area (as indicated by a score of 3.8 or lower), indicating that there is potential for increasing working efficiency in this area. Fourteen States are highly automated (5.4 or higher scoring range), and nineteen reflect a moderate level (4.0 to 5.4 scoring range) of automated functionality.

Specifically, in only 9 States caseworkers enter application information during the interview, in 27 States the caseworker enters application information after the interview, and in 9 States clerks enter the application information after the interview. Most State systems (47) have the ability to copy information from historical records into the current record; however, fewer than half the States have systems with other useful features, e.g., allowing the worker to skip screens that are not necessary for a particular application.

Figure 2.2 Application Completion and Input of Information Summary



B.3 Eligibility Determination/Benefit Calculation

Overview

Once the caseworker has obtained the necessary applicant information, verified the accuracy of the information provided, and determined household composition, the next step is to calculate the net income and assets of the household, determine whether the applicant is eligible to receive food stamp benefits, and calculate the amount of the benefits.

State systems offer a variety of automation features to assist the worker in performing these tasks for the Food Stamp Program, and if integrated, for the AFDC and Medicaid Programs. The distribution of these automation features by State is provided in Table A-3, System Functionality During Eligibility Determination and Benefit/System Calculations, in Appendix A.

Findings

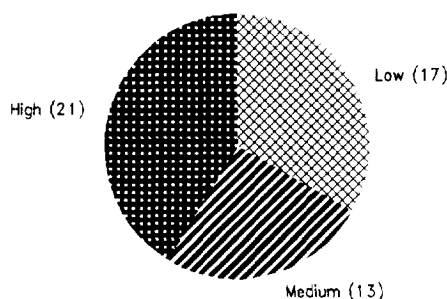
Some systems determine eligibility based on the information entered into the system; other systems validate a worker-determined eligibility. Some systems can also perform non-urgent background processing which allows caseworkers to work more efficiently.

Most systems perform the required benefit calculations in a reasonable and accurate manner. The level of this functionality varies from systems that calculate benefits from raw income, resource, and expense data entered by the caseworker to systems that only calculate the benefit based on the calculation of the monthly budget by the caseworker. Some systems also calculate monthly income. Whenever caseworker calculations can be eliminated by an automated system, calculation errors are reduced.

Summary

The overall level of automated functionality related to determining eligibility and calculating benefits in terms of high, medium, and low level of automation is reflected in Figure 2.3. Twenty-one States show a high level of automated functionality in this area (score of six to eight), 13 show a moderate degree (score of four to five), and 17 show a low level (score of zero to three) of automated functionality. This is supported by Table A-3 in Appendix A. A higher number of systems support automated calculations than support eligibility determination. Specifically, 44 States used an automated system to calculate monthly income, 41 States used it to calculate benefits, and 37 States used it to determine eligibility. Only five systems determine people within the household who comprise the assistance group.

Figure 2.3 Eligibility Determination
and Benefit Calculation Summary



B.4 System Verification

Overview

Caseworkers are required to verify certain applicant information such as residence, birth date, income, etc. Verification is performed in order to certify an applicant as eligible for food stamp benefits and to determine the proper amount of benefits. Applicants are required to provide the information that is requested. If an applicant does not provide the necessary documentation, then food stamp benefits can be denied. Automated systems that document the request and receipt of verification information are necessary in some States if benefits are to be denied for inadequate documentation. Clients have successfully brought suits against some States when the documentation of verifications requested and received have been inadequate. Paper trails are dependent on caseworker handwriting and consistent documentation of notices sent requesting the

documentation. The majority of States do not encounter adversarial relationships with welfare advocates.

Verification of application information occurs throughout the application processing period -- from the time the application is logged into the system until eligibility is determined, at recertification, and no less frequently than annually. Verification can take several different forms, including review of paper documents and review of data in automated systems that validates information provided by the applicant. Some systems require that an entry be made into the system indicating that each mandatory verification has been performed. Five automated features that assist the worker in performing and tracking verifications are: SSN verification, tracking outstanding verifications, missing verification screen alerts, alert printouts, and enforced verification requirements. These features are detailed in Table A-4, System Verification Features, in Appendix A.

Some systems provide an automated listing of verifications for the applicant to provide to the State in order to process the application. The worker is not required to fill out a form to provide to the applicant. The verification listing clearly documents (usually in the appropriate language) the required verifications for the applicant and provides an audit trail and documentation for the State. This feature can be very helpful in States with numerous client fair hearing requests.

Findings

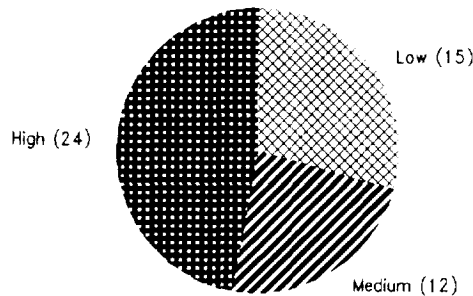
Automation of the verification process allows for more on-line verification and results in improved timeliness of application processing. The most effective form of automatic verification results from a system that tracks outstanding verifications and provides screen alerts to caseworkers of missing verifications.

Summary

The distribution of high, medium, and low scores for system verification features that support the FSP worker are reflected in Figure 2.4. A total of 24 States scored between 3.0 and 4.5 (high), 12 scored between 2.0 and 2.5 (medium), and 15 scored between 0.0 and 1.5 (low).

Most States (39) use their automated system to verify SSNs. About half of the States (29) use their automated system to track outstanding verifications; most of these States use system screen alerts to notify the caseworker of missing verifications.

Figure 2.4 System Verification Features Summary



B.5 Computer Matching

Overview

In determining eligibility and calculating an applicants benefit amount, States perform computer matches on a variety of State and Federal databases in order to verify client participation, income, resources, or assets. States are required to use an IEVS to obtain wage and benefit information for all household members from State and Federal databases, such as State wages, retirement income from the Social Security Administration (SSA), benefit information from SSA, unemployment insurance benefits, etc. Members of an applicant household are matched against the various databases to verify eligibility and to determine the amount of benefits to which they are entitled.

The productivity of a caseworker, however, can be greatly affected by the method of presenting the match information to the worker. For instance, the paperwork burden can be considerable if the worker has to review paper printouts reflecting the matching results of all household members (whether there was a match or not), then re-enter information from the printout and match results into the system. Some States set tolerances levels for differences in dollar amounts beyond which the workers resolve the match and enter information into the system. Other systems have fully automated matching capabilities so that the worker need only enter a code in a screen, resulting in calculation or denial of eligibility.

We collected information on the system's automated features associated with computer matching as well as information about the databases against which States match and whether the match was performed on-line or off-line. The tables reflecting this information are presented in Appendix

A, Table A-5, Computer Matching Functionality (Parts A through D). We were able to develop an automation score for Part A and Part B reflecting automation features. Part C and Part D are descriptive in that they show the Federal and non-Federal databases that are utilized in the matching process. The scoring approach and the features and databases are described for each table.

Computer Matching Automation Features - As shown in the Table A-5 (Part A), Appendix A, half of the States perform computer matching at the time an application is logged into the system.

Computer Matching - System Alerts - System alerts for computer matching are screen messages to alert the worker about discrepancies or matches that have been identified for applicants and recipients. Table A-5 (Part B), in Appendix A, shows the variety of system alerts intended to inform the worker of discrepancies.

Computer Matching - Non-Federal Databases - Table A-5 (Part C) in Appendix A shows the non-Federal databases that are used by the States for computer matching. The databases required for IEVS matches are indicated with an asterisk.

This descriptive table shows the various databases a State may match against as well as the frequency of the matches. Some questions about computer matching could not be answered by State staff. Both Food Stamp Program staff and MIS staff were asked questions about computer matching. For this reason, both tables on databases and frequency of matching were not given automation scores for inclusion in the level of functionality scoring.

Computer Matching - Federal Databases - Table A-5, Part D reflects the Federal databases and frequency of matches for each State which responded to the questionnaires and/or to interview questions. Most matches with Federal databases are performed on a monthly basis with the exception of State Data Exchange (SDX) and Beneficiary Data Exchange (BENDEX) databases which are performed more frequently.

Findings

There appears to be a fine line between too many system alerts and just enough to help a worker manage his/her workload. The absence of system alerts for computer matching means that a worker must review paper printouts to identify matches on applicants or recipients.

Some systems perform computer matching more frequently than is required. Depending on the design of the user interface with the system, increased frequency can result in increased caseworker workload. Each State must decide whether the increased workload is justified by the reduced costs associated with reductions in benefits.

Some States perform on-line computer matching with outside databases while others perform batch matches with on-line access to the results of the match by the worker. In terms of worker productivity, on-line searches of outside databases did not appear to be more efficient or effective than on-line access to the results of batch computer matching. On-line access to outside databases

can be time consuming to the worker, interrupting the work flows. On-line access to other assistance files appears to be very helpful.

A review of the benefits achieved from each matching source should be done to determine if the source provides enough validation to be cost effective.

Summary

Figure 2.5 summarizes the automation scores for Tables A-5 (Parts A and B), omitting the descriptive tables showing Federal and non-Federal database matching. A score between four and five shows a high degree of automation, a score of three shows a medium degree of automation, and a score between zero and two shows a low degree of automation. Nineteen States show a high level of automated functionality in this area, 14 show a moderate degree, and 18 show a low level of automated functionality.

The ability of a system to report the discrepancies on-line, to prioritize the matches, or to indicate discrepancies that exceed a certain threshold has a greater impact on the efficiency of the caseworker than the other features.

Only twenty States perform computer matching before the interview is conducted. The majority of States perform computer matching after the interview, during the initial certification period, and at the time of recertification. And, 38 State systems perform a complete search of the databases. Overall, less than half of all States (23) provide on-line alerts to workers about computer matching discrepancies. Twenty-two systems permit the worker to review the matching detail on-line. Twenty-five systems indicate only those discrepancies that exceed specified threshold.

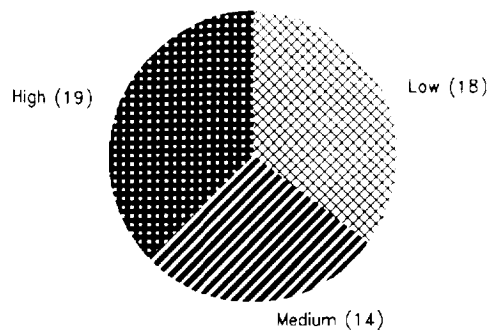


Figure 2.5 Computer Matching Summary

B.6 Notice Generation

Overview

Client notices must be prepared and sent in response to a number of circumstances that occur during application registration, eligibility determination and recertification, benefit calculation, and case closure. Notices may be completed either manually (with copies maintained in the case file) or by the system; the notices can be maintained in the system and/or in the case folder. There have been a number of court cases throughout the country regarding the clarity of the notices and whether they are understandable by the recipient and are timely. Notice documentation becomes very important during any fair hearing.

States that have been able to implement notice systems that maintain a historical record of the notice content and date it was sent or provided to the recipient are in better positions to avoid the fair hearings or to provide evidence that the notice was timely and clear.

There are several potential problems associated with manually prepared notices. For non-English speaking recipients, translations have to be provided (in some States, the number of languages for which notices must be prepared are numerous). Copies have to be readable and filed in the case folder, creating bulky folders and the potential of misfiling. Caseworker handwriting may not be clear. And, caseworkers not totally familiar with the policies and procedures of all the programs may not consistently apply program policies for all recipients.

The paperwork, especially in some locales requiring many notices, can be especially burdensome on workers. An automated system for producing notices can reduce the paperwork, the paper,

the space required for storing the paper, and State-caused errors, as well as the number of fair hearings requested by clients.

In at least one State, the State hesitated to close cases due to client failure to appear for a recertification interview because there was an inadequate record of notification to the client of the interviews scheduled, action to be taken for failure to appear, and notice of the adverse action.

The level of automated functionality may range from no automated notices to fully automated noticing systems. Some systems require that a worker select the type of notice required and enter into the notice system dates and other information. The level of automated functionality is measured by the amount of input that is required by a worker to generate the notice.

Findings

Table A-6, Notice Generation Functionality, in Appendix A, reflects the array of automation features that States use to support the generation of notices.

Systems that generate at least some notices automatically, such as notices about benefit changes resulting from mass system changes, and also have the ability to generate worker-initiated notices are more effective than other types of systems. Combining AFDC and FSP notices was found to be efficient and to reduce costs.

States with high participation rates and high worker caseloads have come to rely on automated notice capabilities to protect the State during court suits and fair hearings.

Summary

Figure 2.6, Notice Generation Summary, shows the distribution of States falling into the high, medium, and low ranges for level of automated functionality related to generating notices. A score between 0.0 and 3.5 indicates a low automation level, between 3.6 and 5.5 indicates a moderate degree of automation, and 5.6 to 8.0 indicates a high degree of automation. Twenty States show a high level of automated functionality in this area, 16 show a moderate degree, and 15 show a low level of automated functionality. Most (44) of the States generate notices automatically and 32 of these also generate notices when the worker initiates them. However, only half (26) of the States have systems with combined FSP and AFDC notices.

B.7 Monthly Reporting

Overview

While monthly reporting is no longer a FSP requirement for all FSP recipients, a subset of recipients, such as those who receive income and/or those whose status changes during the month, are required to report. The purpose of the reporting is to adjust eligibility and/or benefit levels as needed. Some States limit the reporting to a quarterly basis, others require monthly reports from all households, regardless of any change in status.

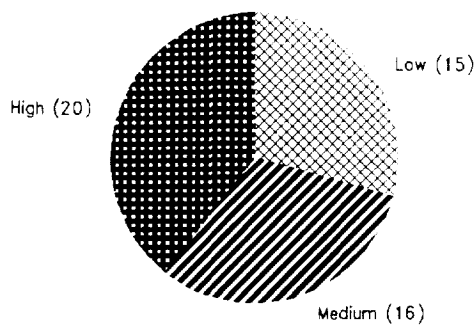


Figure 2.6 Notice Generation Summary

The level of automated functionality is measured by the amount of worker input required to mail the monthly reports, generate related client notices, and enter the receipt of the report and any changes that were reported by the clients.

Findings

Monthly reporting is a function that can be made significantly less time-consuming by means of automated features. The automated features that are most effective are: the system determines cases which are required to report, the system produces monthly reports for mailing, and the system generates warning notices for those clients who report late.

Summary

Table A-7 in Appendix A, Monthly Reporting Functionality, presents system features for seven monthly reporting characteristics. More than half the States require monthly reporting and most have developed a variety of automated features to assist the worker.

Figure 2.7 shows the distribution of States falling into the high, medium, and low ranges for the level of automated functionality associated with monthly reporting. Twenty-one States show a high level of automated functionality in this area, only 4 show a moderate degree, and a high number (26) show a low level of automated functionality. Since only half the States require monthly reporting, this figure indicates that those States that perform monthly reporting have automated the process to a great degree.

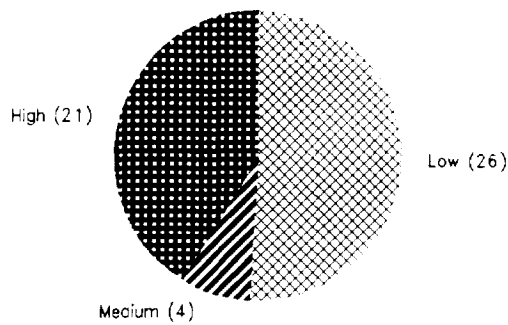


Figure 2.7 Monthly Reporting Summary

B.8 Program Management

Overview

The automated features that support program management provide State FSP management staff with reports on caseworker performance, backlog statistics, and client service measurements. The ability of managers to obtain management reports upon request is not a widespread feature of the automated systems. Generally, the eligibility determination/benefit calculation systems have been developed to support program functionality at the caseworker level, with management-level ad hoc reporting functionality developed and implemented after implementation, if at all. Most managers indicated that the system support for ad hoc reporting was minimal, whether from an automated perspective or from the management information systems group supporting the system.

other automation features. The most popular automated feature is E-mail for sending messages and memos. This feature is included in 33 State systems. Other widespread features, included in the systems of about one third of the States, are daily reports of work needing attention and on-line case narratives.

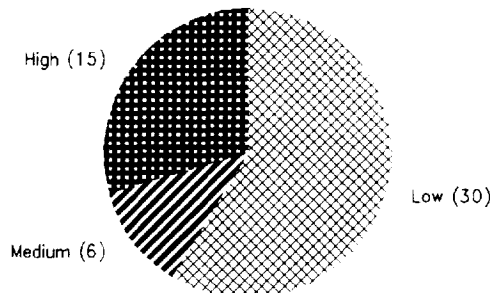


Figure 2.8 Program Management Summary

B.9 Issuance

Overview

The primary focus of the data collection teams was on the eligibility determination and benefit calculation systems that support the FSP. Food Stamp Program staff familiar with the systems were interviewed and either they or information systems support staff or caseworkers provided demonstrations of the systems. Staff responsible for managing issuance systems, since they were usually located in other organizational units or agencies, often did not participate in the discussions. FSP staff answered questions about the issuance systems to the extent of their knowledge, i.e., from the perspective of the caseworker and the degree to which the issuance systems had an impact on FSP program effectiveness.

Findings

Table A-9 (Part A) reflects the types of issuance utilized within the State. About half the States mail the majority of their coupons, and seventeen of these also issue Authorization to Participate cards and/or provide direct access systems or other issuance methods, such as electronic benefit transfer. Twenty States are undertaking an EBT effort, or are in various stages of investigating EBT for their State.

The majority of States have the same basic system features:

- System links document numbers of original and replacement issuances
- System creates monthly issuance files for ongoing cases
- System creates daily issuance files for new and other special issuances
- System check for duplicate issuance is automated
- System provides on-line display of entire issuance history

Automated features tend to be in areas that make mail issuance more efficient, such as ZIP code edits and techniques that facilitate stuffing coupons into envelopes.

Although most of the systems check for duplicate issuance, create a monthly issuance file for ongoing cases, create a daily issuance file for new or special issuances, and prevent issuance until all application data are complete, many States provide no other automated issuance features. In States that have decentralized issuance methods, the preparation of consolidated monthly reports representing all of the issuance locations and/or counties can be quite burdensome.

Summary

Only fifteen States reflect a low level of automated functionality associated with food stamp issuance, a number in keeping with the general distribution of low automation States. What appears different in this chart is the lower proportion of States with a high level of automation, with only 13 States falling into the highly automated sector, a number somewhat under the norm for highly automated systems.

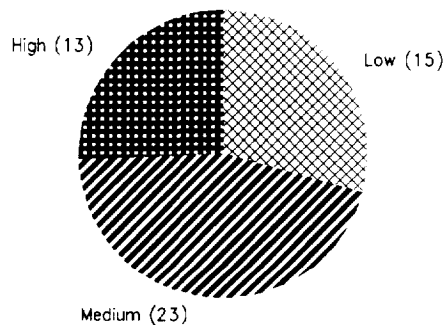


Figure 2.9 Issuance Summary

B.10 Claims Collections

Overview

The claims and collections functionalities are often not integrated with the automated systems. When system transfers were at their peak, and the Alaska/North Dakota models were being implemented in a number of States, the original models did not contain an integrated claims and collection component. States that have subsequently automated claims and collections have usually done so in association with their accounting systems. Recoveries in the form of recoupments for active cases are often handled separately and as a part of the issuance system. Table A-10 (Parts A and B), Claims and Collections Functionality, in Appendix A, shows the automation level of each State in regard to claims collection.

Findings

Table A-10, Automated Claims and Collections Functionality (Parts A and B), in Appendix A, rates the levels of functionality for all States in regard to automated claims and collections processes. When the claim system is integrated with the FSP system, there is greater pressure on the line worker to identify potential claims and to enter information into the system that refers the case to an investigator, at which point it is out of the hands of the worker. Eligibility workers operating in an environment that is not well supported by automation tend not to perceive the identification of potential fraud, abuse, or errors as a high priority. The review of historical case records to extract information needed to calculate the amount of a claim or recovery can be very burdensome on the caseworker.

Staff responsible for investigations need information to pursue this task; access to historical records can be very helpful in this process. Some States also have designated collections staff responsible for tracking the status of outstanding claims and recoveries. If these are tracked in the accounting system and not linked in some manner to issuance systems, the burden on the worker can be considerable. The separation of duties between caseworkers, investigators, and accounting staff that is needed has led to fragmented systems supporting each of the groups, sometimes resulting in poor performance in identifying potential cases for investigation and in collecting or recovering funds due to the State.

The review of automated claims and collection systems was difficult in that personnel demonstrating the principal FSP system did not have access to claims and collections components and/or were not familiar with the functionality of any automation supporting these areas. The review identified the following features:

- Claims systems that were integrated with the principal FSP system
- Data exchanges between FSP and collection systems
- Ability to track claims status
- Automated generation of notices regarding overpayments and underpayments
- On-line entry by caseworker of cause of overpayments and underpayments
- On-line entry by caseworker of suspected fraud
- Automated creation of collection record

- Automated calculation of correct benefits
- Automated calculation of monthly recoupment amounts
- Automated subtraction of recoupment amounts from issuance
- Automation collection method determination
- Ability of worker to view complete collection record
- On-line record of outstanding claims and claims collected

Summary

The distribution of States into high, medium, and low categories of automation reflected a smaller number of States in the medium category. The number of States that fall into the high level of automated functionality area is slightly more than in other functional areas. The number in the low level of automated functionality category is about the same. However, there are fewer States falling into the middle category than has appeared for other functions.

Only 31 States have their claims systems integrated with their FSP system. The feature included in the most State systems (40) is tracking of claims status. Other features included in about half of the systems are the generation of notices of overpayments and underpayments and the entering on-line of overpayment and underpayment cause and if fraud is suspected. The automated collection features used by the most States are calculating the recoupment amount and subtracting it from the monthly allotment, maintaining an on-line record of outstanding claims and claims collected, and creating a claims collection record after a claim has been established.

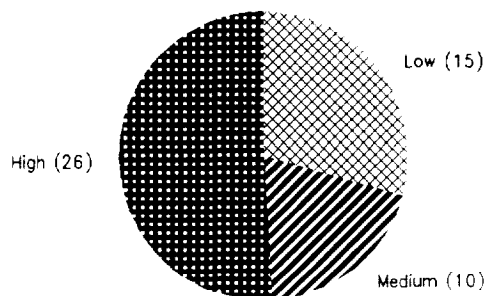


Figure 2.10 Claims and Collections Summary

C. LEVEL OF INTEGRATION

This automation study focused on the level of integration of the automated systems that support the FSP. Automated systems are critical tools used by States to deliver services and benefits, and the level of integration can have a considerable effect on the effectiveness of the State's program

administration. But automation is only a tool. The types of integration can include application integration and organization integration.

Application Integration - The level of system integration is based on the number of programs served by a system as well as the number of systems required to support the FSP. Whether the system is a statewide system is also factored into the analysis. Table A-11, Level of System Integration, in Appendix A, indicates separate systems existing within each State, the programs supported by the systems, whether it is a statewide system, and an indicator of the integration level. The integration level was assigned by each evaluation team according to the information reflected in this table as well as the team's own subjective perception of integration from the perspective of a line worker. Although there are many types of line workers (e.g., caseworker, clerical staff, supervisors, investigators, claims collectors, issuance staff, etc.) the greatest weight was given to the level of integration at the caseworker level (i.e., income maintenance worker), who is responsible for determining the eligibility of an individual or household for benefits as well as for the calculation of benefits for delivery. Since caseworkers comprise the largest group of line workers, the potential for increased efficiency and effectiveness was felt to be greatest at this level.

The fact that a State may have many different systems supporting the FSP as well as other programs does not necessarily indicate that the level of integration is low. For example, if a caseworker is able to seamlessly access, update, and exchange information with other systems without exiting one system to go to another or using another terminal or microcomputer, the team could have assigned a higher level of integration to the State's systems than would otherwise be apparent from the table. Information in the table, however, will explain why a particular State may have received a low score for level of integration. Nebraska has three separate systems supporting FSP, and the primary FSP system does not support AFDC, Medicaid, or General Assistance. This State received a very low integration level rating.

Organizational Levels of Integration - There are many different levels of organizational integration within a State which may have an impact on a program's effectiveness and performance. The more organizational units that are involved in the maintenance of on-going systems or the development of new systems, the more communication and coordination and staffing resources are needed to accomplish the system objectives. Some examples include:

- **Departmental Integration** - A single automated system may support Medicaid eligibility, food stamps, and AFDC for two or more departments within a State. If an automated system supports programs that are located within one department, communications and coordinations between program policy staff and MIS staff are facilitated. As the number of departments that serve one client increases, the requirements for information exchange (both automated and non-automated) and coordination increases.
- **Divisional-level Integration** - Integration of public assistance and food stamp programs within one division seems to facilitate the ease with which changes and enhancements in the existing system can be made as well as the ease of system development efforts. For instance, a Department of Social Services (DSS) may have one division that is responsible

for "income maintenance" that includes both the FSP and AFDC (and perhaps other programs). Or the DSS may have two separate divisions for AFDC and FSP.

- **Statewide Integration** - Some State Data Centers serve all State agencies and are organizationally in a separate department. Some States have data centers that are devoted to the social service and/or public assistance programs. Caseload size is a major factor determining the organization of the data center and the ability of the State Data Center to handle the business of the health, social services, nutrition, and income maintenance programs. Some State agencies responsible for administering the FSP, AFDC, and Medicaid eligibility will have their own data centers and/or mainframes for their systems.
- **Integration at the Worker Level** - The level of integration at the worker level determines training approaches, dissemination of program policy changes, and on-going training for systems. Integration at the caseworker level enables States to provide a single point of entry for social and health service programs, which many believe to be necessary for certain clients ultimately to become self sufficient. Program integration at the worker level is difficult if the systems that support the workers are not integrated and if those systems does not support the worker in determining eligibility, making referrals, and identifying the totality of services that are available for a client.
 - **Program Integration at the Worker Level** The level of program integration at the field office level tends to vary according to the State and the characteristics of that State, county, or region (i.e., urban/rural), and is generally left to the discretion of county supervisors or district managers. Most States have generic workers, some of whom are specialized for certain programs, such as Medicaid eligibility. In some States, generic workers utilize different automated systems for the programs they serve.
 - **System Integration at the Worker Level** This varies greatly among States. Some systems appear fully integrated at the worker level, but are separate systems. In other States, the systems are completely separate, requiring duplicate data entry from the same application form into two separate systems. A generic worker could be using two separate systems.

Summary

Table A-11 in Appendix A provides specific information as to the integration level of each State, including the number of systems and number of programs served. States with a score of 5.0 (the maximum score) are judged to have a high level of integration. A total of 13 States fall in this category. States with a score of 4.0 to 4.9 have moderately high level of integration; ten States are in this category. Scores between 3.0 to 3.9 indicate a moderate level of integration; only six States fall into this category. A score between 1.1 and 2.9 indicates a low level of integration; seven States have a low level of integration. States with an integration level score of 1.0 or lower have a very low level of integration; ten States are in this category. (Some States, such as California, did not receive any integration level score due to the structure of the State's automated systems.)

D. DEGREE OF AUTOMATION

Overview

The degree of automation of a State system is determined by a combination of factors. These include the number of automated features, the amount of duplicative steps in the process, and the amount of unusual or non-routine effort in the process.

Findings

Table A-12, Degree of Automation, in Appendix A, summarizes the findings presented above related to level of automated functionality and level of integration. The first column of the exhibit, level of functionality, comes from computations of the multiple tables and scores given to the various automated features. The second column shows the level of integration scores taken from Table A-11. Although the scores in the first and second columns were derived through different methods, when the first and second columns are added, a score for the degree of automation is created.

The level of functionality score in column one was arrived at by averaging the scores for the different functions (after standardizing each function's set of scores because the score for the different functions have different maximum values) and assigning five levels based on the normal distribution probability covered by the averages of all 51 States. The level of integration score in column two is derived from Table A-11 which factors the number of separate systems existing within a State, the programs supported by the systems, and the comprehensiveness of the system into a relative rating on a scale from 1.0 to 5.0.

The degree of automation score can range from 1.0 to 10.0. Twenty-three States were found to have a high degree of automation (indicated by a score of 6.6 to 10.0). Eighteen States have a moderate degree of automation (a score between 3.6 and 6.5). The number of States with a low degree of automation (a score between 1.0 and 3.5) is nine (see Figure 2.11).

Summary

Given the distribution of the degree of automation scores, no specific conclusions can be drawn. It seems that the more automated systems are more effective and efficient but other factors, such as the age of the system, make it difficult to make generalizations. Each State has specific client needs and a unique automated data processing environment that dictates the most appropriate level of automation to meet its needs with maximum effectiveness.

E. STAGE OF DEVELOPMENT

Overview

Table A-12 in Appendix A indicates the stage of development of each State system. This summary of the development status of all State's systems is based on information gathered during the site visits which occurred from February 1993 to December 1993. The last two columns, the

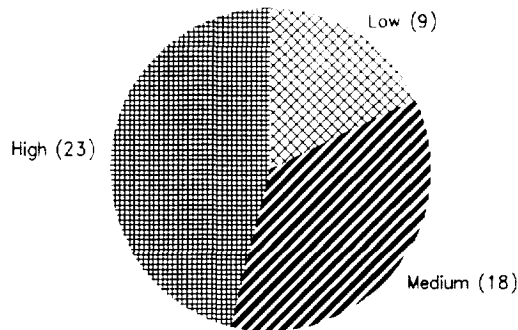


Figure 2.11 Degree of Automation Summary

numbers of years since the primary system was completed and the status of any replacement systems, respectively, show how old the existing system is and what stage the replacement system, if there is a replacement system, is in.

Findings

Most of the States with older systems (nine years or older) are actively engaged in developing another system. Table A-13 is an arrangement of the stage of development information according to the age of the system, ordered from oldest to newest system. The older systems with the lowest degree of automation are almost all in some stage of system design, development, or implementation.

The status of replacing system is defined as one of the following stages:

- N - A pre-planning or investigation stage. This phase can include activities such as observing other State systems, attending Agency for Children and Families (ACF) transfer conferences, American Public Welfare Association (APWA) conferences, and viewing vendor demonstrations.
- P - The planning stage. This phase includes gathering information, deciding on the most appropriate type of system, and producing Advanced Planning Documents.
- D - The development stage. This phase is the initial part of implementation, in which requirements, system specifications, software development occurs.

- I - The implementation stage. In this phase, the system has been tested, training is usually taking place, conversion may be occurring, and implementation of hardware and software may be occurring in local offices.
- H - In some instances development has been halted due to factors such as change in scope, request by the Federal government, or contractor protests.

A blank in the Status of Replacing System column in Table A-13 indicates that an operational system is in place and no plans exist to replace it or to make major changes.

A more detailed breakdown of the current status of system development efforts is presented in Table A-14. This table summarizes the current status of system development efforts for the ED/BC system and for EBT systems. Data were collected on the stage of development of a system and whether it is operational or in the implementation, development, or planning phases.

If the system is operational, the age of the basic eligibility determination system is also noted as it provides an indicator of potential timeframe for system replacement or major enhancement. Table A-15, in Appendix A shows the development status of primary system supporting the food stamp program. Other data collected for operational systems include whether major enhancements are planned or underway and the nature of the enhancements.

Summary

A total of 28 States had an operational system in place with no plans for changing it. Of the 23 States which had systems under development, 2 were in the pre-planning phase, 11 were in the planning phase, 6 had systems actually under development, 3 were in the process of implementing a newly-developed system, and 1 was in a development stoppage phase. Of the 23 systems under development, 17, or 74 percent, were in States where the existing system was nine years old or older.

F. RELATIONSHIP OF DEGREE OF AUTOMATION TO STATE OF DEVELOPMENT

Overview

If a State rates low as to degree of automation (see Table A-12 in Appendix A), this indicates a lack of advanced features such as electronic application capability or automatic verification. States with a low degree of automation rating should have a new system in the planning, development, or implementation stage.

Findings

A review of the States with a low or medium degree of automation demonstrates that:

- Of those States with a low degree of automation, 55 percent are planning a new system, 11 percent (one State) are in the implementation or development stage, one State has halted development, and one State has no development plans.
- Of those States with a medium degree of automation, 16 percent are planning a new system, 28 percent are in the development stage, 5 percent (one State) are in the pre-planning or implementation stage, and 44 percent have no development plans.

Not surprisingly, of those States with a high degree of automation, 78 percent have no development plans at this time.

Summary

Of the States that were rated as having a low or medium degree of automation, 66 percent have recognized this deficiency and are in one stage or another of developing a replacement system. One-third of these States, or a total of nine, do not have any plans at this time to upgrade or replace their existing systems. These States in particular need further attention to determine the reasons for the effectiveness or lack of effectiveness of their current systems and to encourage the development of replacement systems as warranted.

III. STATE SYSTEM DEVELOPMENT PROCESSES

A. BACKGROUND

This chapter discusses the current approaches used by the States in the design and development of information systems. This activity has been changing rapidly; the use of computer-aided systems engineering (CASE) tools has become widespread. It has been shown that, during development, adherence to an industry-accepted system development life cycle (SDLC) standard is a necessary component of a successful system implementation. The use of industry standards, combined with strong project management skills and cost controls, makes the success of the project more likely.

FNS is seeking new approaches for reviewing and approving State APD requests. One approach is to evaluate how closely a proposed State solution parallels accepted industry standards. The latest industry approach for the development of efficient and cost-effective systems is both mission- and business-oriented. Systems must be cost-effective as well as serve the stated goals and objectives of the organization. Systems that support the Food Stamp Program should be moving in that direction.

Some of the major characteristics associated with industry standards for software development include:

- A recognized, commercial SDLC methodology is used to plan and track the planning, development, and implementation of a software project.
- Users, systems, and management staff participate in all phases of the project planning and development cycle. This includes using field staff to validate requirements and functionality and to participate in conversion and implementation activity.
- There are periodic reviews of project progress to include timeliness and quality of deliverables and cost-effective progress toward the projected goals of the development task.
- Standard hardware and software platforms are used to process the finished system product.

In Federal systems, a number of design philosophies have become norms in the creation of acceptable application systems:

- Interoperability - the ability to interact with other system architectures through open system interfaces or standard hardware/software design techniques
- Portability - the ability to transfer a software application from one hardware platform to another without re-engineering
- Expandability - the capability to expand the hardware and/or software platform without re-engineering or major hardware restructuring

- Transferability - the ability to migrate the application to another hardware system or installation without major disruptions to the client's expected level of service

In most projects, success can be measured by a number of different factors. These factors enable an oversight organization to evaluate the level of achievement of many aspects of the project before the actual experience is gained from the users of the system. Factors evaluated in this area include:

- The project provides regulatory and design criteria for functionality and performance that meet planned expectations.
- The original cost and scheduled development estimates are met within accepted variances. Modifications due to changes in regulations, project priorities, project funding and the like should be taken into consideration when evaluating the achievement of project estimates.
- Appropriate levels and areas of the organization participate in the system development and the participation is appropriate to the development task at hand. For example, the use of field staff to test screen layouts and functionality is more appropriate than having them review programming documentation.
- A senior management oversight group is used to evaluate progress, provide directional guidance and provide support and encouragement during the planning and development process.
- A proactive post-implementation process is undertaken to evaluate and document the actual benefits achieved.

The use of formal development techniques assist in the creation of effective and efficient systems, but do not guarantee success. Success can only be achieved by creating a well-defined plan, effective execution of the plan and support of all agencies involved in the financial, resource and regulatory aspects of the project.

B. PROJECT MANAGEMENT FACTORS

Each State has its own preferred method of managing system projects. In reviewing the project management methods and the outcome of a variety of system efforts, we conclude that the following factors have a significant impact on the success of the project effort.

Organization - Every organization uses formal or informal project staff to manage the design and implementation effort of a major systems project. One of the keys to a project's success depends on the thoroughness and effectiveness of this staff to acquire, utilize, and manage the resources necessary to staff and execute the project plan.

In our reviews of the State Food Stamp systems projects, we found that this project organization was used consistently in every State's project process. Factors such as when resources were used,

involvement of a formal senior management oversight group, and level of commitment of the staff, often play a significant role in the overall effectiveness of the management process.

Project Managers were assigned from within the State organization to lead the projects. In 63 percent of the projects, the manager was assigned to the task full-time or almost full-time with little or no additional functional responsibilities (Table B-1, Project Staffing Chart, in Appendix B). In addition, in 76 percent of these same projects, the project manager came from within the State's public assistance or systems staff (Table B-1). The remainder of the full-time project staff

used additional personnel to staff specific project tasks, using program field staff, internal MIS technicians or contractor personnel to staff the requirements.

Another aspect of the project organization that was reviewed was the consistency of staffing of key management positions during the entire project cycle. Projects whose key staff members change more frequently would seem to be less effective than those whose management team remains intact for the duration of the task. While no direct correlation can be made between

of time-consuming and expensive revisions could be avoided if the right players are involved at the right time.

Table B-2, Programmatic User Participation, in Appendix B, presents programmatic involvement and Table B-3, MIS Participation, in Appendix B, presents State MIS participation in the planning, design, and implementation phases of the project. In addition, the type of role undertaken is depicted. Most projects involved a user group (only four States did not use one) and almost all states involved MIS staff (only two States did not). User groups were involved more in the planning and design phases of the project than in the implementation phase (89 and 85 percent of the States involving user groups used them in the planning and design phases, respectively, whereas only 78 percent of the States involving user groups used them in the implementation phase). Both user groups and MIS staff were involved most heavily in the role of making recommendations to the project. User groups made recommendations and reviewed/approved project plans in 85 percent of the projects involving user groups, but they established requirements for the system in only 74 percent of these projects. Similarly, MIS staff made recommendations in 85 percent of the projects involving MIS staff, but established requirements in only 76 percent of these projects and reviewed/approved plans in only 70 percent.

An overall participation rating is also provided in these tables. The rating is an accumulated score that represents the level of participation rather than the level of success of the participation process. More weight is given to those groups which were actively involved in all three aspects of the project process than if they were only involved with one or two phases. For the programmatic staff, establishing requirements is rated as the most important role, and providing recommendations as the least important. Since MIS staff are more valuable in reviewing the project design and performance aspects of a project, review and approval was rated high and making recommendations was rated the lowest. The maximum score possible for user participation is 11 and the maximum score possible for MIS participation is 6.

We feel that the more meaningful the involvement of both State programmatic and MIS staff, the more effective the resulting project planning and design efforts. Without the input from both of these groups, starting with the initial planning aspects of the project, significant omissions of requirements; design features; and system performance characteristics may arise to delay project completion and add to project costs.

Table B-4, Contractor Roles - Project Planning, in Appendix B, presents the involvement of contractors in each State's planning effort and Table B-5, Contractor Roles - Project Development/Implementation, in Appendix B, presents contractor involvement in the design and implementation stages. Contractors were involved more in the design and implementation stages than in the planning stage. Most of the States (82 percent) used a contractor for at least one step of the design and implementation stages, whereas only 61 percent of the States used a contractor for some step of the planning stage.

Contractors play a major role in the development and implementation of public assistance systems and appear to continue as support staff long after project completion. State staffs have been severely impacted by reductions-in-force and hiring freezes the past several years and find themselves unable to support these types of systems. Each State is assigned a rating of contractor

involvement to indicate their level of dependence on external resources to complete the project. The rating for project planning was computed so that States with less contractor involvement received a higher score than States with more contractor involvement; the maximum rating possible is 15. The rating for the project's development and implementation phases was computed so that a State with a moderate amount of contractor involvement received a higher score than a State with none/little or a great deal of contractor involvement; the maximum possible rating is 27. Especially with current projects, this dependence is increasing and may have a significant impact on project costs for future projects. Emphasis should be placed on the use of as many internal resources as possible to reduce the contractor requirements and to enable State staff to assume the full system support roles soon after project completion.

C. USE OF SYSTEM DEVELOPMENT LIFE CYCLE METHODOLOGIES

An SDLC methodology represents an established, proven set of tools, approaches, and steps which are undertaken during the planning, design, and implementation of a systems project. Its purpose is to ensure a consistent and uniform approach to the development of a useful and cost-effective product. The key to the benefit of using an established standard is that the results can be predicted based on the quality of information utilized. It is differentiated from "State standard methods" in that the process can be traced and the results tracked against the standard. If the standard is unique to a specific organization, there is no uniform way to evaluate the effectiveness of the result.

The importance of using an SDLC methodology is that FNS can review any project, determine where it is in the life cycle and determine how well the State has progressed without spending an inordinate amount of time researching the background of the project. The existence of checkpoints, reviews, and documentation facilitate improved project tracking. This should enable problem situations to be identified earlier, assuming regular FNS site visits and reviews occur during the project, and corrective action is taken by the appropriate agency to correct any deficiencies.

States that were using an accepted SDLC methodology were also using the technique when maintaining the application. Based on the size and scope of the enhancement, some or all of the steps were being followed. For relatively simple SDLC tasks, steps such as requirements definition and prototyping were not used; however, alternatives analysis, general and detailed designs, and unit/systems testing steps were utilized.

Table B-6, System Development Life Cycle Steps, in Appendix B, lists the identifiable steps that were used to evaluate how each State used the SDLC method. Table B-7, State Usage of System Development Life Cycle Methodology, in Appendix B, depicts the number of steps each State used during its most recent project, and whether the methodology was used for the duration of the project. The SDLC score was computed as a combination of the consistency with which the SDLC methodology was used (based on the number of steps used) and whether the SDLC methodology was used throughout the project; the maximum score possible is 5. Eighteen of the States were rated as not having used any steps or having used less than 10 SDLC steps. Of the States that used 10 or more SDLC steps, only 64 percent used the methodology throughout the project. With 39 percent of the States not following a SDLC methodology, and another 22

percent not following an SDLC methodology throughout the project, there is a significant chance for inefficiencies to enter the project process, costing the States and FNS time and money.

D. HARDWARE/SOFTWARE PLATFORMS

Industry hardware and software standards are well-defined and followed by virtually all of the States. This section compares State public assistance system platforms to "industry standards".

To begin with, hardware and software industry standards are not fixed, rigid specifications. There are several generations of IBM mainframe hardware that run the same software systems and provide efficient processing capability. In turn, earlier release levels of system or applications software are not, necessarily, less efficient than the current release level.

Tables B-8, CPU Inventory Table, B-9, Software Inventory Table, and B-10, Network Inventory Table, in Appendix B, depict the installed hardware and software systems used to support food stamp systems at the time of the State visits. Forty-one of the States use IBM or IBM-compatible mainframe systems under MVS/ESA (32), MVS/XA (8), or VM/DOS/VSE. CICS (40), ADABAS (14), and IMS (15) are also well represented.

The currency of the hardware generation or software release level is less important if the State's configuration provides appropriate functionality, processing power, and is within the vendor's maintenance support umbrella. For instance, if a State is using a mainframe system that is one generation behind the current offering (i.e., IBM 3090/200E) under a -1 generation operating system (i.e., MVS/XA), then the configuration has the capability to grow into larger processors as the workload expands. In addition, the functionality of the MVS/XA operating system supports all hardware and software functions, and the cost of additional equipment on the used market is 40 to 90 percent less than the cost of comparable new equipment. This situation may be much more cost effective than if the State had acquired the current generation of hardware and software.

More important to the overall view of a State's configuration adequacy is the amount of product expansion available to meet workload growth. This is especially true in those States that provide support to multiple agencies in a common State data center. Since all agency workloads are growing, system performance; reliability; and software restrictions are based on platform constraints.

In our visits, systems capacity, reliability, expandability, and software constraints did not appear to areas of concern. Some States have specific shortcomings (i.e., floor space limitations to equipment growth, inadequate telecommunications network capacity, etc.), but there were no overall problem areas. A number of States were using a form of distributed processing capability, but for the most part, this approach has not yet found its way into the mainstream of public assistance processing.

E. OBSERVATIONS AND CONCLUSIONS

Attention to the project management process is an important factor in the overall success of any systems development project. While good management practices does not guarantee success, ineffective management will add to the time and cost of developing efficient system solutions.

Based on the observations made during our visits to the States, the following observations/conclusions can be made:

- The more successful project management teams have been composed of staff from all departments with a vested interest in the design and functionality of the system. Involvement normally begins with the initial planning stage and continues through project implementation.
- Use of an executive oversight committee to establish direction and resolve priority and resource conflicts should be strongly encouraged. This group will tie the State senior management more closely to the project and ensure that all State organizations are, as much as possible, in support of the project effort.
- FNS should ensure that project checkpoints are included in every project plan reflecting the deliverables to be provided and the cost expended at each point in the project process. This information will enable FNS to more closely track the progress of the project and determine delays and problem areas before they become major stumbling blocks.
- FNS should strongly encourage the use of an accepted SDLC methodology for use by the States throughout the entire project process. This will help ensure that the project can be effectively tracked and that adequate planning and resources have been assigned.
- States use accepted industry standard hardware and software to support the public assistance systems. Issues of compatibility, reliability, and expandability are being adequately addressed.

IV. SYSTEM TRANSFERS

A. BACKGROUND

FNS policies regarding the transfer of existing systems were intended to reduce development costs and allow operational systems meeting FSP and State needs to be implemented quickly. Although regulations do not require that States transfer systems if they can justify new development efforts, many States have interpreted the regulations as requiring them to transfer existing systems from other States. States have complied with this requirement to varying degrees; some States transfer the design concept, then develop a customized system, while others transfer the existing system, dropping and adding functionality to meet their specific requirements. The intent of the Federal requirement was to reduce the time it takes a State to implement an automated system, reduce the cost associated with implementation, and reduce the risk of failure. In reality, costs have continued to grow; proposed development and implementation time estimates have, generally, been exceeded; and some transferred systems have failed to meet all FSP and State automation requirements.

There are no guidelines for evaluating a transfer candidate's efficiency and effectiveness in its existing State, or for estimating the performance of the transferred system in the new State. The level of sophistication and functional capability of the transferred system must be compared against the new processing environment. The performance of the existing systems may not compare favorably to the performance possibilities of newer, state-of-the-art technologies. For instance, newer hardware, software, and telecommunications architectures may provide faster response times; make it easier to implement software changes; and be easily expandable to accommodate fluctuations in caseload sizes. While most of the characteristics and circumstances noted in the regulations are easily compared among systems, determining the efficiency and effectiveness of systems operating in two different States is more difficult.

B. FREQUENTLY SEEN CHARACTERISTICS OF SUCCESSFUL TRANSFERS

In identifying factors that contribute to successful system transfers, the degree of transfer must be identified before defining a successful transfer. A transfer may range from a conceptual transfer to a complete transfer of all existing application code. For the purposes of this study, a system is considered to be a transfer if a State indicated that it transferred a system and the Federal government approved the transfer.

The following characteristics can be used to judge the relative success of a system transfer:

Ratio of actual to estimated development time and cost figures - There are a variety of factors that can impact the development time and cost of a major application development project. It is expected, however, that many of these factors should be accounted for in the initial time and cost estimates and that the final statistics should be within an acceptable range.

User satisfaction - End users of the system should feel that the system helps them perform their work more efficiently and effectively and does not create additional stress within the work

environment. Stress can be caused by poor performance, inadequate functionality, or system interface design problems.

DHHS certification and FNS approval - Formal acceptance by the regulatory agency indicates that functionality is appropriate and accurate.

Expected benefits and improvements in operational support achieved by the system - A formal review of improvements, such as staff reductions, error rate improvements, and enhanced collections documents the cost/operational benefits achieved.

Table C-1 in Appendix C depicts the sources of information that relate to the success factors mentioned above. Twenty-nine States either transferred their current system or are in the process of transferring a system. The ratios of actual to projected cost cover a wide range of fiscal performance. Some projects finished well under budget, while a number of others spent much more than originally anticipated (some eight or nine times more than the original estimate). In some cases, the financial figures are not well documented, due to the age and accuracy of some of the financial data. In a number of cases, all the financial information was not available or found, and, since 17 of the States were still in the development process, full costs of their systems had not yet been determined.

User satisfaction data in the same table was gathered from surveys conducted as part of the State Automation Systems Study. The numbers in the table represent averages of the responses of all the eligibility workers or supervisors in a particular State. The averages below 2.00 for any of the five categories that address how satisfied eligibility workers and supervisors are with their respective systems show that a number of States have systems that are not providing an adequate level of support to their work requirements. Other States are providing excellent levels of support. Using a similar survey effort during transfer candidate analysis or during new system pilot testing would provide valuable input to the State's evaluation process and to the FNS project review process.

Since FNS no longer requires a formal post-implementation review, there is no current vehicle to determine how well the system meets the regulatory, functionality, and performance criteria established for the project. It is strongly recommended that FNS reinstate the post-implementation review and formalize it in a manner similar to the FAMIS certification of the Department of Health and Human Services (DHHS). This type of review is the best vehicle to capture the capability, performance, and benefits of the new system.

States have not formally tracked and reported on the achievement of quantifiable benefits. Without such information, it is impossible to ascribe any supportable cost or performance savings to the system. Efforts to review such data resulted in no meaningful information being found in any State.

C. FACTORS AFFECTING TRANSFER SUCCESS

A number of factors were discovered during our visits to the States that had a direct bearing on the ability of the State to achieve its developmental objectives within the originally projected time

and cost parameters. The type of system needed to support the Food Stamp Program normally requires a multi-year effort to develop and implement. During the development period, changes to the economy, the State political environment, and regulatory requirements can drastically alter the initial plans and estimates. Technological changes resulted in some of the older, established transfer candidates being less effective in the newer systems environment, since newly available features could not be utilized without major rework. Finally, priorities, staffing resources, budget reductions, and similar State-oriented factors can change during a long development cycle and can impact the State's ability to complete the project on-time and under budget.

Transfer Selection Criteria - Each State developed its own matrix of elements that were considered important in the evaluation of candidates for transfer. The factors chosen were not selected based on any regulation or standard format, but were based on what resources the State needed to staff and administer the Food Stamp Program. While each review and evaluation can be taken as a unique process, there were several common criteria that were shared by many of the States. Table C-2, in Appendix C, shows the most important transfer selection criteria for each State that has transferred or is in the process of transferring a system. These 29 States selected the following criteria most frequently as being important in the selection decision:

- System functionality (22 States)
- Similar caseload and/or FSP organization (19 States)
- FAMIS certification of the existing system (17 States)
- Similar hardware/software platform (15 States)

Overall, the States used similar criteria to examine which systems were the best candidates for transfer. One key criteria was DHHS FAMIS certification. This would be another reason for FNS to create their own formal certification process or to work with DHHS, in some manner, to share in their certification reviews and provide an FNS approval to the finished system.

Other factors that were mentioned as criteria for system transfers during State visit interviews included:

- Urban/rural State environment
- County versus State program administration
- Geographic size and characteristics of the State
- Caseworker roles and responsibilities
- State ADP development and operational expertise
- Centralized versus distributed systems
- Historical impact of State advocacy groups
- State employee unions

Use of certain criteria was associated with greater user satisfaction with the operational system. These criteria included similar hardware/software platform and similar system functionality.

In addition to the factors above, a number of issues regarding specific system characteristics and the ability of the individual State to manage a \$20 to \$50 million implementation project were mentioned. These factors did not all have a direct effect on the system selection process, but they

did have an impact on a State's ability to successfully complete a project of this magnitude. The major areas influencing whether a State can successfully complete a project of this type are:

- **Age of Transferred System** - The age of the transferred system potentially affects its performance and efficiency in the receiving State's environment. Older systems also can require more modifications than originally anticipated to improve functionality and/or efficiency.
- **Project Management** - The development approach used (SDLC methodology), the effectiveness of the system development management process control, and the effectiveness of contractor support played significant roles in the overall effectiveness of the transfer effort.
- **User Involvement in the Transfer Selection Process** - The State headquarters and field staff food stamp operations staff usually have a thorough understanding of the requirements of an automated system to support the Food Stamp Program. The effectiveness of the system will ultimately be determined by the user satisfaction level, as well as the operational efficiency of the system. User involvement is considered to be a critical factor in an effective selection process for a transfer system candidate.
- **State Management and Oversight Capabilities** - There are two areas that impact total project success, as well as transfer success. One is a high level of State management oversight in the system development and implementation process. Such oversight can help reduce directional and priority conflicts. The second is the extent and quality of this involvement. Detailed management involvement can encourage State and contractor staff to meet target dates and deadlines, ensure that the system meets user objectives and requirements, and verify that the benefits associated with implementation can be achieved.
- **Effectiveness of Consulting Efforts** - States with inadequate ADP expertise and project management capabilities can utilize knowledgeable and experienced consultants to greatly enhance the chances for a successful transfer. The success achieved can be related to the degree of involvement of both State and consultant staff in the planning and development of the new system, as well as the State's ability to maintain the system after the consultant has finished the project.
- **State Procurement Policies and Practices** - States are now required to comply with Federal procurement requirements for competition. States that have not historically operated in this manner have had to change their procurement practices to come into compliance. If contractors are required as consultants or for system transfer, development, or implementation, the type of procurement options that are available can affect the project management approach. For instance, the type of contract vehicle used during various project phases may influence the quality of the work effort. The procurement strategy also can influence the availability and selection of competent contractors. Types of procurement strategies include: firm fixed price, time and materials, cost plus fixed fee, incentive fees, award fees, subcontracting, sole sourcing, purchase orders, and others.

- **State Budgetary Constraints** - If the public assistance program budget is reduced or limited in any way during the development process, the system design effort may be impacted. Reduction in system functionality, fewer technical staff to commit to the project, or selection of low-cost solutions to meet reduced budgets may limit the effectiveness of the final system.
- **Regulatory Environment** - Developing a system during a period when many regulatory changes in the program take place can negatively impact the timeframe for system development.

Thoroughness and Proficiency of the Selection Process - In order to transfer an appropriate system, States must be able to obtain pertinent information about other systems. Table C-3, in Appendix C, presents the sources used by the transfer States to gather evaluation information and includes the number of States which used each type of source. System demonstrations, State inquiries and visits, and reviews of system documentation are the most consistently used methods. Discussions with system vendors and contractors and the two regulating Federal agencies, DHHS and FNS, were used less frequently. Demonstrations by vendors and discussions with FNS were methods used by States whose system users ultimately were more satisfied with the system.

Table C-3 also presents the number of systems reviewed for transfer and ultimately considered feasible. Most States reviewed more than two systems and many reviewed more than five. Most States found one or two systems to be feasible and often based the final decision on cost or convenience.

In most cases, a State would assemble a number of staff from diverse areas including food stamp operations, MIS, and management to conduct the review. We feel the makeup of the review team and the approach used may have significant influence on the selection process. Program users, for instance, would not be in a position to understand potential technical problems in transferring a particular system, and technical personnel would not understand the degree of functionality or automation needed for their State.

The transfer process itself does not include a number of required tasks performed in a specific order; however, there are certain activities that should be included in every evaluation:

- Compare the similarity of functions, caseload volume, system interactions, and hardware/software technologies of the potential transfer candidate to what is used in the receiving State. Major discrepancies should not exclude a candidate, but a detailed plan should be developed to address how the differences will be corrected during development.
- Determine whether the bidding contractor has experience with the recommended system. If the contractor and contractor staff have had previous experience with the system, one would expect that the system would be implemented more quickly than with a contractor who has not had prior experience. In addition, the proposed development plan should be

more thorough in addressing those areas where changes must be made.

- Identify the operational problems of the system, in terms of poor performance or missing functionality that will need to be added.
- Decide what other programs need to be added and what functional modifications will be necessary to make the system practical for the receiving State. The addition of assistance programs, such as Medicaid eligibility or Child Support Enforcement, is probably a more significant change than the addition of a claims tracking module.
- Determine if changes in system architecture, hardware, or software are needed. Items such as workstation functionality, distributed versus centralized, or changes in database platforms will require extensive rework. All systems require some change to meet user needs and State requirements. Users and technical staff may have different perceptions about the amount of change that is required, and the perception is very subjective.

All States appear to have done a reasonable job in selecting the system they needed to support their development effort. The subsequent level of success achieved by any particular State was not unduly affected by the platform it chose. Other factors in the development cycle seem to have had more of an impact.

Nearly every State mentioned that the lack of a centralized database of transfer information had a negative impact on the system transfer process. The existence of a centralized, national clearinghouse of information addressing the current status of each State's automated system or development effort would have made the selection process easier to undertake and would have eliminated a great deal of duplicative effort. If, for example, FNS maintained an up-to-date database with information about each State's food stamp system, States would have a source of information that could be used to determine which candidates best met their needs, what problems had been encountered, what corrections had been made, and what results had been achieved. In turn, this would make the selection process faster and more meaningful. An additional benefit of a centralized, national database would be that FNS would have a more accurate and complete picture of every State system that FNS is funding and monitoring.

Project Management Team - The membership in the Project Management team should be representative of the State's senior management perspective and have appropriate representation from both the programmatic and MIS areas to cover functional and technical requirements. Senior management's goals and expectations regarding the timeframe and cost parameters that are acceptable to the State must be inputs in the development of the new system. Functional and workflow considerations from the programmatic areas are an integral consideration and should be reviewed by all areas that will be supported by the new automation vehicle. In an integrated solution, every area which will be supported by the system should participate in the selection to ensure that their functional requirements are taken into consideration.

The management roles and involvement in the transfer process should be the same as in the management of the planning and development aspects of the project. Goals, functionality, and technical platform issues should be jointly developed prior to the selection evaluation. Review criteria and candidate rating should include all participants so that all adjustments and

compromises can be arrived at jointly. This type of partnership will help resolve conflicts that often arise during the developmental phases of the project.

FNS should take an active role in the transfer process by providing system transfer information and observing the selection process for every State. The level of success in this, the first stage of a development effort, may be an accurate predictor of how successful the full project may be. Trouble in the system selection stage may be symptomatic of management problems and should serve as a warning to FNS to increase its oversight of the specific project.

Adequacy of State/Contractor Resources/Skills to Complete the Project - Success or failure of a project, whether a new State system development effort or a transfer from another State, will depend more on the project management and technical resources available than any other factor. If State funding or priorities change, an adequately staffed project will be able to modify the plan; however, if State staff or funding for contractor support is cut, there may be no way to reasonably salvage the project.

In today's environment, very few States have adequate technical or programmatic staff to develop/modify a new public assistance system without extensive external contractor support, and in many cases, yearly ongoing maintenance support. In the majority of the States, internal MIS staffing levels have been frozen or reduced over the last several years. Many of the States do not have sufficient staff to develop new systems or to work closely with contractor staff to learn the design characteristics of their efforts to thus be able to effectively support the new system after the development is completed. It has become incumbent on the contractor community to be the major source of new system implementation staffing. With this comes higher costs. It costs a State substantially more to have a contractor develop and modify a system than it would if the work is done by State staff. The average development effort now costs between \$20 and \$40 million for a two to four year effort. It may be very difficult to deal with the financial requirements of higher State staffing levels today, but it is debatable whether this course would be more expensive than using external contractors. In the long run, however, the avoidance of paying additional personnel payroll and benefits expenses may cost substantially more in system development costs.

Degree of Transfer and Customization - The degree of transfer is based upon what was transferred. A low degree of transfer would occur when only the system concepts are used and actual coding, files, and formats reworked. A high degree would entail the use of the system code, screen layouts, and report formats as they were used in the original system. In the first column of Table C-4 in Appendix C, each transfer State is given a rating for degree of transfer on a scale of 1 (conceptual only) to 10 (entire system transferred, as is). Some States, that were in the early stages of the selection process, did not have information to answer this question.

The second column in Table C-4 measures the degree of customization. This relates to the amount of modification required for the transferred system to meet the State's functional and technical requirements. A rating of 20 means that 20 percent of the transferred system needed to be modified to some extent. A rating of 100 percent means that every aspect was changed to some extent. The degree of customization does not directly coincide with the degree of transfer. For example, as shown in Table C-4, Rhode Island transferred its entire system, but then

modified 75 percent of it, while North Dakota also transferred its entire system, but only customized 30 percent. For all transfer States, the lowest modification percentage was 20 percent (North Carolina and Tennessee). This level still represented a significant amount of extra effort to customize the application. There was insufficient data to attempt to correlate the cost of modifying transfer systems versus new development, but it appears that the two costs are not appreciably different. More detail on cost is provided in Chapter V.

D. OBSERVATIONS AND CONCLUSIONS

Overall, the majority of the States view transferring as the preferred method for developing new public assistance systems. Even those States that internally developed their current systems feel that the benefits of using a transfer system as the basis for a new system development effort now is preferable to a custom design and development effort.

The primary benefit of transferring a system relates to the presence of a proven foundation with specific functionality. One of the most difficult aspects of developing a new system is to determine what it is supposed to do and how it will do it. With no starting point, it normally takes a long and difficult planning process to design the basic structure and gain agreement on the basic functionality of a new system. Even in the era of joint application development (JAD), it takes a great deal of effort and compromise to reach consensus on such features. With a transfer, the effort is confined to defining what to add, delete, or modify; this is much easier to accomplish than starting from scratch.

The advantages and disadvantages of system transfers, as indicated by each State, are presented in Table C-5 in Appendix C. The advantages most frequently cited were reductions in risk (30), development time savings (29), and cost savings (28). The area considered to be the biggest disadvantage was the need to customize the transferred system (24).

Other observations and conclusions related to system transfers are as follows:

- A centralized database of information on the status of public assistance systems in each State should be created and maintained by FNS. This data will be useful for State referrals when new projects begin, can provide FNS with current information on the development and/or operational status of each State system, and will help ensure that only solid, proven systems are used as transfer candidates.
- State transfer evaluation teams should be composed of staff from all affected departments to ensure that all functional and technical issues are fully addressed and understood by the evaluation team.
- The FNS post-implementation review process should be reinstated to validate the accuracy and functionality of the final system and to ensure that the actual benefits achieved are quantified and compared to the projected benefits in the APD. Without this effort today, there is virtually no formal review of benefits achieved and no way to determine the cost-effectiveness, if any, of the overall development effort.

V. STATE AUTOMATION COSTS AND COST ALLOCATION METHODOLOGIES

A. BACKGROUND

States receive funding from three sources for system development efforts: DHHS for AFDC, Medicaid, and other DHHS programs if included in the integrated system, USDA for food stamps, and the State itself. The rate at which the Federal agencies fund the system development effort varies. In general DHHS provides 90 percent funding for development in support of DHHS programs, and FNS provides 50 percent funding (formerly 75 percent and 63 percent) for the portion allocable to food stamps.

When States decide to improve or replace their automated systems, they must justify their decisions not only to FNS and DHHS, but also to their State legislatures or budget officers. States must present their business case to the legislature, in some cases utilizing the cost benefit analysis prepared for FNS and DHHS. In many cases, however, the justification is basic, such as the need to produce timely, accurate benefits to the needy and to avoid sanctions resulting from a high error rate. When State budgets are tight, as they have been in recent years, the availability of Federal funding may be one of the predominant incentives for a major system effort, without which the State could not proceed with its effort to automate.

The States request approval and funding from FNS during the planning and development process by means of the Advanced Planning Document (APD). Although FNS may approve the total system cost at the time of the first APD submittal, this funding amount may be modified through an Advanced Planning Document Update (APDU) over the course of the project. Each modification resulting in changes in system functionality and design, contract modifications, and costs must receive FNS approval. The original system budget is, therefore, modifiable as long as sufficient justification exists for the changes. Because of reasonable funding requests, the eventual cost of the project may far exceed that which was originally approved.

The basis for the allocation of costs varies from State to State and sometimes during the course of the development effort in the same State. A project may be conditionally approved until an allocation approach has been agreed to by all parties. The approved funding request may change if the allocation method has not been approved, in advance.

In reviewing the reasonableness of funding requests, USDA looks not only at the total system development and ongoing operational costs, but also at the method used to allocate USDA's share of the costs. FNS funds only that portion which is allocable to food stamps. Because of the intricate nature of integrated systems and the technologies that support them, cost allocation can be very complex. Determining the reasonableness of funding requests requires addressing three principal areas:

- Total estimated cost of the planned project and the reasonableness of individual system components, such as the hardware, software, telecommunications, and application development/transfer costs

- Reasonableness of the funding request based on the functionality, degree of automation, level of integration, caseload size, and the number of workstations
- Reasonableness of the system cost given the State's expected benefits

A number of other factors can also impact the cost of a project and affect its chances for success. The hardware and software platforms to be used can have an affect on whether the State's approach can be considered reasonable or not. If standard platforms are proposed, there is a much stronger likelihood that the configuration will provided adequate technical functionality, assuming that the proper capacity planning has been conducted. Use of an accepted system development life cycle methodology and an experienced and dedicated project management team will help ensure an effective planning and development strategy. The use of a reasonable transfer candidate and a qualified contractor or commitment of enough State technical staff to meet the implementation timeframes is crucial.

All of these factors are taken into consideration when an APD is evaluated and play a role in the approval and ultimate success of the project.

B. COST ALLOCATION METHODOLOGIES

Development Methodologies - States are using a wide variety of allocation plans to track and allocate project development costs to the appropriate State and Federal agencies. We FOUND during the State visits that the plans reviewed provided solid and logical bases for their approach to allocating the development costs. States are using the 1986 Memorandum of Understanding between DHHS and USDA to formulate their Cost Allocation Plans (CAP). Following the recommendation contained in the memo, States are using their unique accounting and tracking tools to create a CAP that meets Federal requirements.

The elements used most frequently to allocate costs among the agencies include:

- Random Moment Samples (RMS) of eligibility worker staff to determine how their time is divided among all supported programs
- Application-dependent transaction counts to determine what percent of the total resources are being used by program-oriented functions
- Unique, program-allocated codes for tracking and cost distribution of personnel time
- Federally-approved fixed percentages based on a variety of trackable categories

States use cost pools for both direct and indirect charges to capture and ultimately allocate project development costs.

The plans are usually based on existing State accounting and data capture systems and are designed to track the components of the project. Usually, hardware, software, State personnel, contractor personnel, and training aspects make up the majority of the components in the

development phase of the project. In shared data center environments, hardware dedicated to the project is direct charged. Equipment shared is allocated through accounting codes tied to the specific development tasks and captured during processing. Personnel charges can be either directly charged for staff 100 percent committed to the project, or allocated by project codes in the time reporting system. Other project resources are tracked and allocated in a similar fashion.

FNS reviews the State's CAPs which are submitted as part of the APD for review and approval. The CAP is usually the most controversial portion of the APD and the area where most questions are asked. The CAP attempts to describe how the State will track costs, allocate resources, report regularly to State and Federal agencies about expended funds, and apply the approved allocation formulas. FNS' role is to review the State's CAP and to approve the allocation approach, formulas, and actual allocation process. FNS normally reviews the initial CAP and responds with questions to the State to clarify any ambiguities or to request additional documentation to justify a particular State position. The number of requests for clarity and additional documentation is not fixed and can extend into many months of exchanges between the Federal and State agencies. In several cases, discussions continued for years while the development process was ongoing.

Table D-1 in Appendix D, presents each State's approach to the allocation of development costs. Each State's development cost components and the basis by which costs are allocated are listed. For the most part, cost components are consistent, covering equipment and staff. Allocation methods include RMS, percentage of FNS-oriented activity out of all activities, and case counts. These various methods are all normal and acceptable approaches to distributing cost to disparate agencies.

The CAP is the most technically complex portion of the APD document and the source of many State complaints. Most State's operate under the assumption the 1986 Memorandum of Understanding between DHHS and FNS regarding responsibilities and requirements of cost allocation between the States and each of the two agencies would provide them with the guidance and information needed to compile an acceptable CAP. However, nearly every CAP meets with major clarification requirements from one or both of the agencies, and in a surprising number of cases, conflicting requirements from the two agencies. The information provided back to the States, in many cases, is ambiguous and requires a number of inquiries back to the Federal agency to determine what is being requested. In some cases, the feedback to the State was, in essence, the CAP is unacceptable, submit another one. The States understand the need to have an acceptable plan to allocate costs and appear willing to work with the Federal government to provide the necessary documentation; however, without clear and consistent guidance from both DHHS and FNS on content and allocation guidelines and requirements, delays in APD approvals and frustration with the oversight and approval process will continue.

Operational Methodologies - By improving business processes and program effectiveness, automated systems are intended to reduce the overall costs of administering the Food Stamp Program. States are to demonstrate this by either achieving reduced ADP operating costs or through cost reductions or savings in other administrative cost areas.

As part of the APD process, States are required to estimate the ongoing operational costs of the project. In the CAP portion of the APD, the methodology to be used to allocate the operational

costs is presented. FNS uses the CAP to review the State's allocation method and its approach for capturing the information. The amount of the anticipated operational cost is less important than the process and allocation bases to be used.

During the State visits, cost allocation methodologies were examined to determine the approaches taken by States to allocate the ongoing costs associated with operating the public assistance system that supports the FSP. For integrated systems that serve multiple programs, the operational costs should be allocated across all programs, with each program agency sharing in the appropriate costs according to a CAP.

FNS' concerns for operational costs center on the level of State expenditures, based on the functional complexity and caseload size. Reasonableness is the rule of thumb, along with cost comparisons to States with similar hardware/software platform, application functionality, and comparable caseloads. If any particular component cost appears to be outside of a reasonable range (i.e., number of workstations, intelligent workstations with no distributed intelligence assigned to the workstation, extraordinary software costs, etc.), FNS will review the technical aspects of the APD to determine if there are reasons for the unusual requirements. If there is no logical explanation given in the APD, FNS will request that the State justify the requirement with more information. Approval of the CAP may be delayed or conditional approval may be granted pending receipt of the additional justification.

Once the system is implemented, FNS monitors the actual operational costs of each State and uses cost per case as a measurement vehicle. Since there is no universal definition of what components constitute the operational cost pool, this measurement can be misleading since each State determines which components to include in the operations pool. For instance, one State may include food stamp issuance costs in the operations pool, while another may include these costs in a food stamp issuance pool and allocate it differently than the operations pool. While this measurement does not provide a consistent view of State operational costs, it is useful when comparing each State's operational costs. Those States who appear to be unusually high should be more thoroughly reviewed to determine why.

In Table D-1, Appendix D, each State's operational cost components and cost allocation basis are listed. The most commonly used methods are computer-related resource usage, support personnel time/project charges, and RMS tasks. Direct and indirect cost pools are established to process time reported for non-system and non-food stamp operations staff time, supplies, facilities, and other overhead charges. Each pool has an allocation formula created and approved by FNS.

As indicated by the wide range of cost per case figures in Table D-1, there appears to be a need to investigate the ongoing operational costs of public assistance systems. Many applications are processed in centralized State data centers supporting multiple State agencies. Upgrades to the data center environment are built into the cost overhead of the facility and are paid for, in part, by the food stamp program. Improvements in the telecommunications networks, disk storage, and robotic tape libraries can all impact the cost to FNS whether the improvements benefit the food stamp program or not.

C. STATE APD FUNDING REQUESTS

Requests for Federal funds fall into two categories:

- Planning APDs - cover a State's initial planning, transfer evaluations, and general functional design phases
- Implementation APDs - cover the contractor and transfer selection, detail design, implementation, conversion, training, and ongoing operational cost aspects of the project

In these documents, the States attempt to identify the time it will take to plan and develop the system and total cost of development, conversion, and ongoing operations of the system. In many States, this attempting has proven to be a very difficult task.

One of the goals of this study was to develop some funding request recommendations based on the experiences discovered during our State visits. What was discovered during the visits was that project financial information was not retained for older systems, because there were no policies or regulations requiring their retention. There were many instances, even in the case of more current systems, where detailed and complete financial information was not available for review. As a result, our ability to draw documented conclusions on State funding requests was severely hampered.

Development Costs - Developing public assistance systems from initial planning to final statewide implementation takes from 3 to 5 plus years. The time is needed for the State to gain agency approval of the development plan and to execute this plan to the satisfaction of the regulating agencies. During this development period, any number of economic, regulatory, or political factors can change and impact the direction or priority of the developmental effort. For instance, Tennessee's three phase project was completely reworked during Phase III to incorporate a change in the State's direction as to what the system should be. Phase III ended up being a rework of Phases I and II as well as the completion of the tasks in the original Phase III.

Due to the impact of these types of changes on an initial project plan, a wide divergence between the original cost estimate and the actual cost to develop a system can occur. Table D-2 in Appendix D shows the planned and actual costs of each State's most recent development effort. Only 23 of the 52 systems (including the District of Columbia and 2 systems for New York) had complete information on the original cost estimate and the final actual cost.

In some of the older systems, e.g., Alabama, North Carolina, and Oklahoma, the planned and actual costs are relatively low. According to its records, Alabama only used 42 percent of its original estimate to create its system. Illinois and Montana were the only other States with complete information that completed their projects under budget.

Increases in the final project cost ranged from as little as 14 percent (Vermont) to nearly 750 percent (Utah). As a rule, there were no detailed records to indicate why the overages occurred, but, based on the regularity of project overruns as depicted in Table D-2, it is reasonable to conclude that:

- Changes in the system requirements and functionality created additional design and programming work which extended the project timeframe and increased cost
- Regulatory changes required modifications to the system design requiring rework
- Estimates for multi-year projects were usually overly optimistic and did not account for rework and other delays
- Resource shortages, not enough staff, hardware, or funds to accomplish all the expected goals, occurred
- The State's politics and/or priorities changed

Eleven States and the District of Columbia (Indiana, Maine, Maryland, Michigan, Minnesota, Missouri, Montana Nebraska, Nevada, New Hampshire, Tennessee, Virginia, and Washington, D.C.) which have recently completed or are in the process of developing new systems estimated an average cost of \$29,336,717 to develop a public assistance system. In reviewing 10 systems (Alabama, Delaware, Idaho, Illinois, Mississippi, Montana, New Mexico, North Carolina, North Dakota, and Rhode Island) developed in the late 1970s and early 1980s, the average development cost was \$6,425,670. This represents an increase of 357 percent in development costs over the past 10 to 15 years. Because the vast majority of the systems being developed are still mainframe-based, non-distributed, terminal workstation applications that were developed in the late 1970s and early 1980s, it is hard to rationalize why the costs have increased to such an extent, even while granting the fact that the systems now support integrated applications and the workloads and functionality have increased.

Without more detailed cost information from the States, it is impossible to make any more concrete conclusions and recommendations on project funding. It is sufficient to say that if the past trends continue, public assistance systems will cost over \$100 million on average by the year 2005 and still be centralized, mainframe-oriented, database systems using PC workstations as unintelligent terminals.

Operational Costs - FNS reimburses the States for an FNS-approved percentage of the cost of the operational system that supports the public assistance system running the food stamp application. The percentage is based on a CAP submission that details the methodology used to determine the FSP share of the operational costs and is taken from the total operational cost for the system. FNS shares this calculated amount with the State on a 50-50 basis.

Table D-2 in Appendix D contains information on each State's operational costs (FNS share) for 1990-1992 and the cost per case based on 1992 caseload and operational cost data. The information was gathered from a variety of State records, including Federal SF-269 forms, and State accounting records. As indicated in Table D-2, information was not available from every State for each of these three years and, in one case, not available for any of the three years. As in the accounting for development costs, the policies and regulations covering the maintenance of financial records should be reviewed. It should be the responsibility of either the State or a regulating Federal agency to maintain complete and accurate financial records for all recent

projects (last 5 years) and all active systems (no matter how old) for audit and tracking purposes. Without having this responsibility assigned to some organization, it will continue to be impractical to use historical cost information to determine more effective alternatives for future development projects.

According to the information available on each State's cost per case, the cost ranges from \$0.15 (West Virginia) to \$11.67 (Alaska) per case handled. The average cost per case for the 49 States measured is \$1.13. Of the 49 States captured, 31 have cost per case averages over the national average. If the two high States (Alaska and Wyoming) are excluded, the average drops to \$0.72 per case. Using the \$0.72 average figure, 37 of the 47 States exceed the national average. In attempting to compare older systems to newer systems, the same States which were used to

compare development cost averages above were used to establish an average cost per case. The 12 newer systems referenced above had an average cost per case of \$1.38. The 10 older State systems had an average cost per case of \$2.00. The newer system's average cost per case was 31 less than the older system's. A reduction of this proportion is a strong indicator that the current systems are providing more effective support of the caseload volume of work processed, even though overall operational costs are increasing. This type of measure will be of more value in the future if a standardized method of compiling operational costs can be developed and implemented by all States.

D. STATE COST ACCOUNTING AND COST CONTROLS FOR ADP

the vast majority of the States use automated, effective accounting systems to capture, track, and allocate costs associated with State agencies, departments, and projects. A variety of cost codes, cost pools, and direct charges are established to ensure that all project costs are captured with accuracy and allocated to the correct cost pool. For indirect and shared costs, RMS and other time studies seem to be widely used by all States. Surveys are conducted at regular intervals to keep the studies results current. In some States, fixed percentages are created and used for an extended period of time. The percentages can be based on staff assignments, full time equivalents (FTE) for a specific aspect of the project extended to represent much larger aspects of the same project, or transaction counts as a percentage of all transactions. Whatever the methodology used, once the allocation format is established, the State's accounting system is fed the information necessary to quickly and accurately assign cost information to the correct project or department.

Oversight responsibilities for State ADP expenses do not appear to be any different from any other State area. Cost accounting budgets, cost categories, cost pools, and information capture processes are established and followed to the letter. Systems costs are tracked by personnel time charges that have been assign specific accounting codes. Hardware and software utilization is captured by the computer system operating software and accumulated until extracted by system personnel or automatically fed to the accounting system. Shared system resources are allocated by a variety of calculations, normally based on percentages of measurable resources (CPU seconds, transaction counts, disk space used, etc.). The States do not appear to do any extensive project tracking to ensure that the project is meeting cost and milestone commitments. Projects that have not exceeded the spending limits imposed by State or Federal budgets are apparently not reviewed by State accounting staff.

Federal ADP cost reporting requirements are routinely followed as are all other State and Federal mandated processes. The SF-269 form is used to report a number of system related cost components, including ADP project development costs and operational costs. However, if a State has more than one development project or has more than one operational system being supported by FNS, the separate costs cannot be recorded because the SF-269 only provides space for a single number. It is impossible to isolate one system from another unless the State volunteers additional information to split out each shared category. Some States have begun to provide this type of information, but a requirement should be imposed for all States to split out each individual project or system in future reporting.

Another problem relates to the lack of consistency in what constitutes operational costs. Each State is allowed to create its own cost pools to assimilate operational cost information. As long as the State follows standard accounting practices, it is perfectly acceptable to account for operational cost data in this manner. The problem occurs when one tries to compare one State to another in regard to operational costs (e.g., operational cost per case). Since each State's cost pools are, theoretically, unique, the comparison among States is not consistent. It would be ideal if a standard operational reporting matrix was developed to be used by all States to report operational cost information to FNS. Even if the State used its own cost categories for internal cost purposes, the FNS standard would enable a more thorough comparison of State costs and, potentially, allow for easier identification of processes and procedures to reduce costs and provide this information to other States. While this could create some additional accounting burden for the State, added Federal cost incentives could be created to offset their concerns.

E. GUIDELINES FOR DETERMINING REASONABLENESS OF STATE ADP FUNDING REQUESTS

States are required to submit APDs and gain Federal approval for any project over \$500,000. In an era when nearly all projects or equipment acquisitions will exceed \$500,000, it appears that FNS will be involved in virtually every State project that impacts the Food Stamp Program.

Development requests can address totally new systems or enhancements to existing systems. Costs can range from several hundred thousand to tens of millions. The time spans for these projects can run from 6 months to 5 years, based on the size and complexity of the project. FNS has up to 90 days from receipt of the development request to determine if the project is technically and financially sound. The FNS regional office (RO) receives the document and conducts programmatic, systems, and cost reviews during a 60-day period. The document under review may have been developed by up to ten people over a several month period and entail the input of many more technical, programmatic, and financial specialists. No matter how extensive the RO review may or may not be, it is their evaluation that determines whether the initial submission is accepted or rejected. In many cases, FNS requests additional information or clarifications to answer ambiguities or inconsistencies in the APD. If the project exceeds \$1 million, the final decision rests with the Executive Oversight Committee (EOC) at FNS Headquarters (HQ). This committee reviews an executive summary prepared by the supporting RO and has 30 days to render a decision or request additional information. As a rule the EOC does not see the State's APD, but reviews only the executive summary.

Requests for funding of operational requests (i.e., hardware upgrades, new processors, additional workstations, etc.) follow the exact same procedure. According to the FNS APD 901 Handbook, any State requirement that impacts the costs of supporting the public assistance system that handles food stamp processing, requires an APD to be submitted (for any items over \$500,000). Requests are processed in the same manner as development projects, but with added emphasis on technical justifications.

FNS is and should be considering the following components in each APD:

- Hardware/software platforms - are the components requested standard industry products that will provide adequate and reliable processing support for the State.
- Application - is the selected transfer system a reasonable match for the State's stated functional requirements, caseload, and current hardware/software platforms.
- Project organization - is a fully represented (systems, programmatic, contractor, executive management) project management team assigned, full-time, to manage and direct the project.
- Project plan - are checkpoints/milestones planned to validate the progress of the technical and financial progress. Timeframes for the technical phases should appear to be reasonable for the level of activity that needs to be accomplished.
- Functional requirements - do the functional requirements meet the FNS Model Plan and are they representative of what an automated system should provide.
- Use of a proven contractor/development life cycle - has the State selected a contractor with a proven performance record and is it using an accepted industry-standard development life cycle methodology to design and develop the application.

The ultimate question -- what should a representative system cost -- cannot be easily quantified. Each system will be required to perform a number of required and optional functions. The degree of sophistication and complexity for every possible situation is impossible to predict. Applicant registration can be as simple as data entry from a written application or as complex as interactive, artificial intelligence on-line entry and validation during the client interview. These variables can greatly affect the cost of systems for States with comparable caseloads and functional requirements. The problems that were mentioned earlier in this section regarding consistency of State cost allocation plans, cost accounting procedures, and operational cost differences, again, make State-to-State cost comparisons difficult to correlate.

F. RECOMMENDATIONS

F.1 APD Cost Recommendations

Based on the previously mentioned 357 percent increase in the cost of system development over the past 10 to 12 years, an evaluation should be made of the cost of each component of the

project planning and development. Identify those components that have the highest cost factors and determine if any alternatives could reduce time/cost associated with them. For example, if contract costs account for 60 percent of the entire development effort, how much would it cost to replace the contractor force with State staff. The cost improvement may outweigh the current trend to reduce State staff.

A typical full system costs between \$20 and \$40 million today. If a State presents an APD within this range, FNS should spend the majority of its review on the technical aspects of the system - project management staff and approach, project schedule, hardware/software platforms, capacity plans, etc. Systems falling below or above this range should be reviewed carefully to ensure that the variance is supported by the technical plan and functional requirements of the State.

F.2 Cost Allocation Improvements

Evaluate the current CAP review process to determine why it creates such a high level of frustration for the States. More guidance and information regarding APD requirements and expectations should be provided from FNS to the States to eliminate the multiple resubmissions that mark the current process. Additionally, a more consistent set of requirements between DHHS and FNS should be developed to provide a more predictable environment in which the States can operate. This area was the most commonly mentioned area of State dissatisfaction with the APD process.

F.3 Development and Operations Cost Reporting

Create a new reporting vehicle that requires the States to track each Federally reimbursed project separately. Each project or operational system should be tracked individually to ensure that each one is meeting its forecasted timeframes and other performance goals.

A consistent format for classifying operational costs should be developed for use by the States in reporting costs. Without a standard set of cost categories and definitions of costs in each category, FNS will not be able to compare operational costs with any certainty.

VI. STATE IMPLEMENTATION OF REGULATORY CHANGES

A. BACKGROUND

Whenever Congress enacts legislation affecting the Food Stamp, AFDC, and Medicaid Programs, States are required to implement the legislative changes in accordance with regulations that are promulgated by the Federal agencies responsible for the particular programs. If a State implements legislative changes before it has received the Federal regulations, it is taking the risk of incorrectly interpreting how the legislative change is to be implemented. This risk is greatly reduced, however, if implementation of the legislation does not require changes in State policies, laws, and/or systems. If any of these need to be changed, States almost always wait until they have received the final regulations before implementing changes in their programs and systems.

States are supposed to meet legislative timeframes even if the Federal agencies have not issued final implementing regulations. Instead of providing regulatory guidance to the States, FNS, as well as other Federal agencies, often provides preliminary guidance on implementing the legislation so that States are able to develop implementation strategies and are positioned to implement changes quickly once the final regulations are issued. Federal agencies utilized this approach extensively in the recent past when a moratorium was placed on the issuance of new Federal regulations.

In addition to regulatory changes, yearly "mass" changes are required to adjust benefit levels to accommodate changes in cost of living indices. The FSP, Health Care Financing Administration (HCFA), and the Agency for Children and Families (ACF) coordinate to the extent possible when regulation in one program impacts other programs.

According to FNS Handbook 901, general standards for ADP systems require that systems "allow for reprogramming to implement regulatory and other changes including a testing phase to meet implementation deadlines, generally within 90 days." Similar timeframes exist for implementing ACF and HCFA regulations.

The promptness with which regulatory changes are implemented is related to the speed with which the changes can be made either in manual procedures or in the automated systems that support the Food Stamp Program. Time also has to be allotted for updating the State certification manual and/or State operating plan. The State Automation Systems Study focused primarily on the changes required in the automated systems supporting the Food Stamp Program and the ability of the State personnel to effect the changes.

The extent to which system changes are required is related to the system's degree of automation. Highly automated States almost always have to change their systems to accommodate regulatory changes since these systems provide on-line screens for workers, determine eligibility, and calculate benefits. Changes often are required not only to the central databases and application programs, but also to the worker screens and edits. Systems with a low degree of automation may need only a few changes in the database and mainframe applications, especially if workers manually determine eligibility or calculate benefits.

Implementing regulatory changes in the system may require staff participation from the affected programs, the State data center, the MIS department, and the accounting and budgeting departments. The process of implementing Federal regulations can require a number of steps: implementing new State policies and laws; identifying user, functional, and system requirements; developing system specifications; making changes in the software programs; changing database architectures (if new data elements are required); and developing test databases. Once the changes have been made, the system must be tested and the changes accepted by the users. Retraining users and updating system and user documentation may also be required. Depending on the scope (and priority) of the regulatory change, the State may develop a management and implementation plan, reflecting the development and implementation timeframe and the personnel and organizational resource requirements.

B. APPROACH

In identifying factors that influence a State's ability to implement regulatory changes in a timely manner, personal interviews with Food Stamp Program staff and MIS personnel were conducted and questionnaires completed by MIS, FSP, and other public assistance staff were reviewed. The following types of information were collected:

- Performance data reflecting the timeliness of implementing changes
- Problems encountered in making changes in a timely manner
- Organizational structure for implementing changes
- Availability of resources for implementing regulatory changes
- Other constraints that affect regulatory change implementation

The analysis of this information addressed:

- Relationship of degree of automation to a State's ability to implement timely regulatory changes
- Relationship of stage of development to a State's ability to implement timely regulatory changes
- Relationship of age of system to a State's ability to implement timely regulatory changes
- Relationship of availability of resources and a formal change control committee to the timely implementation of regulatory changes

C. FINDINGS

The remainder of this discussion is based on detailed State tables that can be found in Appendix E of this volume.

C.1 Performance - Timeliness in Implementing Regulatory Changes

States were asked to indicate the timeliness with which they were able to implement 14 FSP regulations. Since the objective of the study was to identify the relationship of automated systems to the States' ability to implement the regulations, States were further asked to identify those regulations for which programming changes were required. These questions were directed primarily to FSP staff.

This portion of the study elicited some sensitivities on the part of FSP staff, either because staff did not know when a regulation was implemented, did not know when it was supposed to be implemented, or were not familiar with the particular legislative requirement specified. The implementation of regulatory changes is not specifically documented at the State level. A regulatory change is one of many programming changes that FSP staff may submit to the MIS department. Staff were usually aware, however, of specific problems they encountered in making the changes.

States responses to the timeliness question do not necessarily relate to the ability of the States to make the changes in their automated systems since many States implement regulatory changes without making system changes. This occurs because States have a low degree of automation or because they do not have the resources to implement the change in their automated systems. States that implement changes manually are able to verify that the change has been implemented only through on-site case reviews. States with a high degree of automation generally must make changes in their automated systems in order to provide the appropriate user screens and automated logic that will support the line worker. In county-operated States, State agencies notify counties of the need to implement the change and may provide guidance on how to do so; however, unless the change is made in a statewide automated system, the State agency usually is unable to confirm whether the county implemented the change and, if implemented, the implementation date.

Figure 6.1 below provides aggregate results and Table E-1 in Appendix E provides responses provided by staff in each State. Nineteen States indicated that they generally were able to implement the regulatory changes very fast, although for the 14 regulations specified, only eight of these States said that they had implemented all 14 on time. Three "very fast to implement" States met the timeframe less than 60 percent of the time; however, States implementing a higher percentage of the regulations on time also reported their general timeframes as "very fast". Seventeen States indicated that they occasionally missed the implementation timeframe; seven admitted that they usually missed the implementation timeframes and that their regulatory change processes were very slow.

Figure 6.1
Percentage of Applicable Regulations Implemented According to Implementation Timeframe

% of Applicable Regulations Implemented on Time	General Timeliness to Implement				
	Very Fast	Satisfactory	Very Slow	No Response	Total
<40%	1	4	1		6
40-49			1	1	2
50-59	2	1	1		4
60-69		2	1	1	4
70-79		3		3	6
80-89	5	6	3	1	15
90-99	3			1	4
100%	8	1		1	10
Total States	19	17	7	8	51

As shown in Figure 6.2, only three States said that system changes were required 80 to 100 percent of the time, but six indicated programming changes were required 70 to 79 percent of the time. The majority indicated that programming changes were required for fewer than half of the regulations. There was not a strong relationship, however, between the degree to which States reported that system programming changes were needed for implementing regulations and States' reports of their general implementation timeliness, although there is a slight indication that States requiring programming changes for fewer regulations also believed that their general timeliness was faster.

Figure 6.2
Percentage of Applicable Regulations Requiring Programming Changes

% of Regulations Requiring Programming Changes	General Timeliness to Implement				
	Very Fast	Satisfactory	Very Slow	No Response	Total
<20%	3	1	1	2	7
20-29	4	4	2	2	12
30-39	3				3
40-49	3	4	2	1	10
50-59	3	5		1	9
60-69	1				1
70-79	1	3		2	6
80-100%	1		2		3
Total States	19	17	7	8	51

Data summarizing State responses regarding Federal regulations which require State legislative changes are provided in Figure 6.3. Seven States said that State legislative changes were required for all of the Federal regulations, and five States reported that legislative changes were required for 90 to 99 percent of regulations. On the other hand, 16 States required legislative changes for fewer than 40 percent of the regulations. There is virtually no relationship between the need for State legislative changes and the general implementation timeliness reported by the States.

Figure 6.3 Percentage of Applicable Regulations Requiring State Legislative Changes

% of Regulations Requiring State Legislative Changes	General Timeliness to Implement				
	Very Fast	Satisfactory	Very Slow	No Response	Total
<40%	8	3	1	4	16
40-49			1	1	0
50-59		2	2		4
60-69		2		1	3
70-79	3	3	1		7
80-89	4	3	1	1	9
90-99	3	1		1	5
100%	1	3	2	1	7
Total States	19	17	7	8	51

C.2 Problems Encountered in Making Changes in a Timely Manner

Regulatory changes must be translated into system requirements by FSP staff before systems staff can begin making the changes. If FSP staff do not provide the specifications in a timely manner, MIS staff cannot make the system changes in a timely fashion. The process for implementing regulatory changes is not unlike that for other system changes in States which must change their automated systems to accommodate new regulations.

Figure 6.4 below indicates that the most frequently cited reasons for implementing regulatory changes late were late Federal FSP notification of the change and insufficient lead time from State FSP staff. Thirty States suggested that system complexity was a major problem, and 27 States indicated there were priority conflicts. Many State MIS departments support a wide range of social services programs (e.g., Child Support Enforcement, Child Protective Services, foster care, and a myriad of specialized Medicaid programs for participants and non-participants of the AFDC and food stamp programs) in addition to supporting the food stamp system.

Figure 6.4
Major Problems Associated with Implementing System and Mass Changes

Problem Areas	System Changes	Mass Changes
Late Federal FSP Notification	39	
Insufficient Lead Time from State FSP Staff	32	30
System Complexity	30	18
Priority Conflicts	27	
Last Minute Changes	N/A	21
Design Flaws		9

Areas requiring the most time in the change process are the actual programming and the development of the system specifications. Figure 6.5, Areas Requiring the Most Time, aggregates this information.

Figure 6.5
Areas Requiring the Most Time

Area	Number of States
Programming the Change	15
Developing the Specifications	11
Policy Changes Required by the State	6
Program Review of Impact of Changes	5
User Acceptance Testing	1

C.3 Organizational Structure for Implementing Changes

Several mechanisms can be used by FSP to notify MIS of impending regulatory changes and by States to prioritize the changes. The options can include requests; informal meetings, as needed; or a formal process for scheduling and prioritizing the changes. The interviews addressed the position of the change control committee, level of FSP participation on that committee, and the roles of the committee. Tables E-2 through E-4 in Appendix E present information about the mechanisms used by each State to make regulatory changes. Several States reported that although they did not have a formal change control committee, they utilize a more informal committee.

Twenty-nine States have a change control committee that reviews, prioritizes, and approves any changes that are to be made in the system. Two other States utilize other organizational entities to perform the same duties. Change control committees may be comprised of FSP and other program staff, MIS staff, contractor, and other State staff. In 19 other States with change control committees, FSP staff are members of the committee. In 23 of the States with change control committees, MIS staff are represented. The change control committee is the mechanism by which users provide input. The committee's principal responsibilities are priority setting and implementation scheduling. In seventeen States, the composition of the committee and its responsibilities varies according to the type of change that is required. By far, most States (40) notify MIS of required system changes through written customer service requests; in 20 States, FSP staff notify MIS through periodic meetings and 22 notify MIS through informal discussions.

As shown in Figure 6.6, the responsibility for approving changes is handled at several different organizational levels among States. Most frequently, the Director of Public Assistance Programs approves the request for system changes. This responsibility, however, resides with the FSP Director in nine States and with the change control committee in nine other States.

Figure 6.6
Approval Responsibility for Changes

Approval Responsibility	Number of States
FSP Director	9
MIS Management	3
Director, Public Assistance Programs	14
Change Control Committee	9
Other	5

It is apparent that FSP staff do not have total control over the prioritization of regulatory changes. FSP staff share that responsibility with MIS staff and establish the schedules in regular meetings. Only a few of the respondents indicated they used other prioritization approaches. A summary of these results is presented in the Figure 6.7 below.

Figure 6.7
Responsibility for Prioritization of Changes

Prioritization Responsibility	Number of States
During Regular Program-only Meetings	7
During Program and MIS Meetings	24
By Director, Public Assistance Programs	4
By Director, FSP	2
By MIS only	2

C.4 Availability of Resources for Implementing Regulatory Changes

State resources for making system changes are reflected by the availability of funding and adequate internal and external staff. States must submit ADP budgets for ongoing operations at least a year in advance. Because budgets are determined and other resources are allocated before required changes are known to the State, changes that require additional funding and staff resources may not be made due to limited resources. If a State has to rely on the availability of contractor personnel to effect system changes, it is possible that changes may or may not be implemented in a timely fashion depending on the contractor's specified duties.

The experience and capabilities of the personnel involved (education, training, turnover rates, number of years in current position) also are important. These areas were addressed in prior chapters. Both MIS staff responsible for making system changes and Program personnel must be familiar with the system. Both must understand the impact of changes in one module on the accurate functioning of other modules.

The following figures (6.8 and 6.9) indicate that the lack of funding is less of a problem (for making system and mass changes) than the lack of available in house MIS staff. Information about the adequacy of staffing and monetary resources in individual States is provided in Table E-5 in Appendix E. The majority of States feel that the availability of external staff (i.e., contractors) is adequate. In some States, contractor staff provided technical staff stability that could not be provided by the State because the State was not paying competitive salaries for technical staff. Other States used contractor staff whenever the contractor could demonstrate a cost benefit associated with system changes that would increase system efficiency.

Figure 6.8
Availability of Resources to Make Changes

Resource	Adequate	Marginal	Inadequate
In-house staff	8	18	21
External staff	17	8	6
Funding	17	17	10

Figure 6.9
Availability of Resources to Make Mass Changes

Resource	Adequate	Marginal	Inadequate
In-house staff	8	20	17
External staff	17	4	7
Funding	16	19	7

C.5 Other Constraints in Implementing Timely Regulatory Changes

Information about the availability of resources to make mass changes is presented in Figure 6.9.

from both MIS and Program staff because responses from both groups were considered relevant. Program staff must address policy issues, the impact of the changes on other programs, including State programs, and changes in State regulations. MIS staff must consider other system changes or system development efforts that are taking place and their relative priorities, the adequacy of their technical resources, and technical constraints of the system.

During interviews with FSP and MIS staff, State staff volunteered a variety of other constraints

- Coordinate regulations among programs so they do not conflict
- Consider other system efforts that are taking place when requiring the implementation timeframes

D. ANALYSIS

Utilizing the results of Chapter 2 - Degree of Automation and State of Development, this section focuses on showing the relationship between timely regulatory change implementation and the degree of automation, age of the system, and the stage of development.

D.1 Relationship of Degree of Automation to Implementing Regulatory Changes

Some States implemented the regulations easily only because there was little automation to support the caseworker during intake and ongoing case management. This, in turn, places an additional burden on the worker, increasing the likelihood of case errors. In addition to making changes in the back-end processes that are performed by the central computer, user screens, edits, documentation, policy manuals, and work processes must be redesigned, piloted, and tested in States with greater degrees of automation.

Figure 6.10 indicates that States whose systems exhibited a higher degree of automation generally were slower in implementing regulatory changes.

Figure 6.10
Relationship Between Systems' Degree of Automation
and Timeliness in Implementing Regulatory Changes

Degree of Automation Score	General Timeliness to Implement Regulatory Changes		
	Very Fast	Satisfactory	Very Slow
0 - 2.5	2		
2.6 - 5.0	5	6	1
5.1 - 7.5	8	3	1
7.6 - 10.0	4	8	5

D.2 Relationship of System Age to Timeliness of Regulatory Change Implementation

Although one would expect that the age of a system would negatively affect the ability to implement regulatory changes, it is possible that the limited functionality of the older systems and the lack of complexity make these systems easier to change. It is also possible that States with older systems implement changes manually. Older systems are usually poorly documented, which makes it difficult to implement changes to the system. Some States indicated that the lack of documentation made them hesitant to change their systems.

The data gathered indicated that the two conflicting forces, old system age and lack of functionality, appear to negate each other. There was no clear relationship between the age of the system and the State's timeliness in implementing regulatory changes.

D.3 Relationship of State of System Development to Timeliness of Regulatory Change

States frequently indicated that they experienced problems with their development projects because of regulatory changes. The relationship of development stage and the timeliness of regulatory implementation was examined, but it was found to be very weak. The weak relationship is primarily due to the relatively small number of States with current system development projects.

If a State is in the process of developing or implementing a new system, the implementation of a new regulatory change may have a very negative impact on the overall system development timeframe and implementation cost. If change occurs during system development and implementation, and if a contractor is being used, modifications to the contract are often required to incorporate the additional level of effort associated with making the regulatory change. To avoid negative impacts on system development efforts, some States froze all changes until after system implementation.

D.4 Relationship of Utilization of Change Control Committee and Other Formalized Procedures to the Ability of a State to Implement Timely Regulatory Changes

Once changes have been made in the automated systems, some States require that operations manuals be changed and users trained before the change is implemented. The difficulty associated with system changes and testing can delay changes in the user manuals and user training. The effectiveness of the mechanisms for updating manuals and conducting training are relevant to the State's ability to effect timely changes.

Analysis of the data indicated that States with change control committees tended to implement regulatory changes faster. Fifty-two percent of the States that had change control committees reported that they generally implemented regulatory changes "very fast", but only 27 percent of the States without a change control committee reported implementing changes "very fast." In addition, States in which the change control committee approved the changes also tended to implement regulatory changes faster than States in which the FSP Director or the Director of Public Assistance Programs approved the changes.

VII. LEVEL OF AUTOMATION AND FSP NEEDS

A. BACKGROUND

Prior chapters addressed the degree of automation, system costs, technical soundness of the development approach, ability to implement regulatory changes, and system transfers. This chapter examines FSP performance indicators to determine whether the systems are meeting the needs of the FSP.

The intention of the Food and Nutrition Service in providing funding for the development of automated systems is to increase the effectiveness and efficiency of State agencies in serving the food stamp population. We used FNS statistical reports reflecting these areas of performance on a State by State basis. These statistics are used by States in developing cost benefit analyses to justify the implementation of new systems as well to project the new systems' impact on Program effectiveness and efficiency. The discussion below reviews the FNS performance data for 1992 in relationship to the degree of automation and the age of the system. It should be noted that the FNS statistics are a reflection of the State's performance, not necessarily the system's performance, since there are many other variables that affect FSP performance which were not examined in this study. The following performance indicators were examined:

- FSP caseloads
- FSP error rates
- Percentage of claims collected
- FSP administrative costs (i.e., cost per case)
- Timeliness of implementing regulatory changes
- Detection of fraud and abuse
- Justification of development and ongoing operations costs relative to benefits achieved

Table F-1, in Appendix F, shows the performance indicator information used in the analysis. The data on each State's timeliness of implementing regulatory changes is presented in Table E-1 in Appendix E. During the study, eligibility workers and supervisors completed User Satisfaction Surveys indicating their satisfaction with the system. Table C-1, in Appendix C, contains the user satisfaction information for each State. Information on user satisfaction is drawn from the State site visit findings. We examined the user survey results in relationship to the degree of automation as well.

The degree of automation within each State was discussed in Chapter II; it ranges from 1 to 10. Table A-12, in Appendix A, contains the information on the degree of automation and the age of each State system. Each of the indicators listed above was analyzed to determine its relationship to the degree of automation.

B. ANALYSIS

B.1 Caseloads

An efficient automated system is one that is properly sized to handle the caseloads within a State. Caseload size is the single most important factor used in determining the software and hardware capacity needs for an automated system. Other factors, such as system complexity and the number of automated functions, are also important, but caseload size will most often determine the size and capacity of computer systems. A system which provides excess capacity before it is needed by the program is not an efficient system, nor is a system which is undersized, since it will not meet the needs of the users. When a State is selecting or developing an automated system, it must be able to identify its current caseloads and project caseloads for its system life cycle. In the last several years, States have seen unprecedented increases in their caseloads that have far exceeded their long term projections.

Counting the number of unique cases and clients is not easy for States with separate systems; however, it is necessary when the State upgrades to an integrated system supporting clients who participate in multiple programs. A State moving from separate, non-integrated systems to an integrated system serving FSP, Medicaid, AFDC, and/or other programs will have data that reflects the cases (and perhaps the clients) served by each individual program, and these same cases and clients may be duplicated across programs and systems. Some States have developed Master Client Index subsystems in order to identify clients who participate in multiple programs. Even with the index, however, the task of identifying the number of unique cases and individuals is difficult.

The combination of unprecedented caseload increases in recent years and difficulties associated with determining unique caseloads resulted in States implementing systems that did not have the capacity to handle the processing demand, which resulted in slower than expected response times and difficulties in conversion to the new systems.

There were several other factors that have affected the systems' ability to handle the public assistance caseloads. The newer systems, with interactive, on-line interviewing offered a far greater degree of automation to support the worker than the older systems did. These increases in functionality placed increased demands on the new systems and provided far more information on individuals and cases than previous systems offered. Historical information on case/client activity could be maintained, and States found this information helpful during fair hearings and in claims collections and recoupments. Some systems even maintained the workers' case narratives for a period of time after a case was closed.

As a result the costs associated with the implementation of an integrated system often far exceeded the original cost projections. Given the variations in caseloads among States, FNS has used cost per case figures to compare system development efforts. Considering the differences in system complexity, data collected and stored, and levels of integration among States, however, the cost per case indicator should be modified to take into consideration these other factors.

Findings

Table F-1, in Appendix F, indicates the average administrative cost per FSP household. The analysis indicated no relationship between the number of FSP cases and the average Federal administrative cost per household. Furthermore, there was no relationship between the degree of automation and the cost per household.

B.2 FSP Error Rates

Most States justify the development of an automated system by projecting a reduction in error rates. We found, however, that many States experience an increase in error rates when a new, integrated system is implemented. There are a number of reasons why this occurs, including:

- **Improved Error Identification** - With integrated automated systems, a State is able to identify errors in cases that would not have been identified under the older systems. Under stand-alone systems, separate case files usually were maintained for AFDC, FSP, Medicaid, and other programs. When an integrated system is implemented, the multiple cases must be combined to create one case. This is a time consuming process which will result in the identification of errors that previously would not have been identified. The shift to client-based systems, from case-based systems, also provides the ability to perform computer matching and checks for duplicate participation on all household members, instead of just the head of household, which may result in the identification of problems that were previously unknown.
- **Shift to Generic Caseworkers** - When single-program or specialized caseworkers begin to handle multiple programs under the generic caseworker approach, the depth of knowledge about the new programs being handled by that worker is not as great as it is for a specialized worker. The integrated systems that support the worker in determining eligibility and calculating benefits make the shift to a generic approach possible, but there will always be very complex cases that will require in-depth policy and program knowledge that the system will not be able to address. In these instances, the probability of increased errors will occur.
- **Conversion and Training Pressures** - Active cases must be converted when the new system becomes operational. Most States require workers to handle the case conversion in the normal course of their workloads or during overtime hours. In other cases, the State may bring in temporary workers to perform the conversion. In addition, conversion often is used as a training ground for workers. When these situations are combined, there is an increased likelihood of error. If workers are utilizing automated systems for the first time and are not familiar with computer keyboards, the problems are compounded and errors will increase.

Non-system factors, such as increases in worker caseloads, also influence error rates. Some States that had projected staffing decreases (and cost savings) associated with the implementation of the new system were held to these projections by their State legislatures. Reductions in staff, however, rarely occur when a new system is implemented. Instead, the system enables staff to

administer the programs in accordance with the intended Federal and State policies for serving the client population.

Once the system has been implemented for awhile, one would expect errors to decrease; while this has occurred in many States, there are reasons why this expected error rate decrease sometimes is not present. With each new Federal regulation, regulations may need to be implemented manually, or "fiated" until the changes have been implemented and tested in the system. The combination of manual procedures with the automated system will result in the interjection of errors. Regulatory changes may require the addition of new data elements to the database, the creation of new user screens, and additional processing logic. In some States, the backlog of system change requests is very large, with implementation of changes scheduled two years into the future.

Findings

While there are a number of considerations associated with error rates that make them a poor measure of system effectiveness, they remain an important measure of overall program effectiveness within a State. The analysis showed no relationship between error rates and the degree of automation.

B.3 Claims Collected

When integrated systems first were implemented, these early systems did not include a module for tracking claims established and claims collected. These modules usually were added after the fact and were linked to the accounts receivable system for the State. State policies can significantly affect the percentage of claims collected. For instance, a caseworker intent on maximizing the amount of benefits given to a client may choose not to refer cases for further investigation, or the ordeal of recalculating the proper amount of benefits over past periods of time may be so burdensome that the worker will not have an incentive to submit cases for further investigation. With separate claims systems, making referrals may be especially cumbersome.

Findings

While one would expect that a more automated system would result in a higher percentage of claims collected, the analysis reflects no relationship between automation and percentage of claims collected. The availability of investigative staff to pursue the claims and the States' participation in the tax intercept program seem to have a greater effect on the percentage of claims collected. This is documented on a State by State basis in the individual State reports that were produced during this study.

B.4 FSP Administrative Costs

FSP legislation related to automation reflects an expectation that administrative costs will decrease with automation, reflecting increased Program efficiency and effectiveness. For the reasons discussed above under caseloads, increased automation may initially increase costs for newly implemented systems.

Findings

The information presented in Table F-1 shows the FSP average monthly administrative costs per household. The analysis indicated no relationship between the degree of automation and the average Federal administrative cost per household or between the number of FSP cases and the cost per household.

B.5 Regulatory Changes

The ability of a State to implement regulatory changes in a timely manner is one measure of a system's ability to meet the needs of the FSP. Factors that can affect a State's ability to implement changes in a timely manner include: stage of development, degree of automation, system complexity, level of integration, program policy, and MIS staffing. Most States indicated that implementation of mass changes related to changes in economic indices were much easier and less burdensome on the workers. Although most States indicated that they made the regulatory changes in a timely manner, many of these changes were made manually rather than in the system. When logic is closely linked among DHHS and FNS programs, changing large software programs, such as the eligibility determination and benefit calculation modules, becomes a major undertaking. One State expressed regret about how closely it had linked Medicaid to AFDC and FSP because there were so many, major changes in Medicaid regulations that it was adversely affecting their ability to maintain the system for the non-Medicaid programs. The relationship between timeliness in implementing regulatory changes and the degree of automation of the system was strongly negative (i.e., less automated systems were associated with greater timeliness in implementing changes). This is discussed in detail in Chapter VI.

B.6 Costs/Benefits

The ability to develop integrated systems for multiple public assistance programs permits the utilization of generic caseworkers who provide client services for multiple program areas. However, these workers are not as knowledgeable in each of the assistance programs as specialized workers, and each case takes a little more time to process since there are multiple assistance programs that must be handled. The trend towards integrating programs within one system means that workers and programs are increasingly dependent on the automated system. The automated system now also serves a larger caseload and requires more complex processing. When the number of assistance programs and clients increases, the complexity of the system increases with the level of automation. The potential risk increases with each assistance program that is added to the system.

B.7 Fraud and Abuse

In order to determine whether a system has decreased fraud and abuse, the State must have documented the amount of fraud and abuse in the State's programs before the new system was implemented. One can only count the fraud and abuse that is known; that which is unknown cannot be counted.

Most States were unable to provide a definitive response to the question about the system's ability to reduce fraud and abuse. Most States felt, however, that the new systems and increased functionality prevented fraud and abuse from occurring. For instance, a system that is able to perform statewide checks for duplicate participation by all members of the household in the program, will prevent a person already receiving benefits from receiving duplicate benefits. The ability of a system to prevent any fraud, however, is dependent on the quality of the information that is made available (e.g., accurate Social Security numbers, valid birth certificates, accurate recipient information in the State and Federal databases used in the IEVS process).

B.8 User Satisfaction

The analysis reflected several relationships between various measures of user satisfaction and degree of automation, as well as between user satisfaction and the age of the system. Users tend to be more satisfied with less highly automated systems and with newer systems. In particular, States in which both the eligibility workers and the managers felt that their job stress was reduced by the system and felt that the system helped them in their jobs were also States with newer systems with a lower degree of automation. Because the degree of automation measure is based on the functionality included in the system, as well as its degree of integration, a system with a higher degree of automation is also more complex, which seems to be less satisfying to the users.

C. OBSERVATIONS AND CONCLUSIONS

It is assumed that States automate FSP functions in order to perform more efficiently and effectively. Indeed, if some States did not have automated systems, they would be unable to comply at all with the requirements of the Food Stamp Program.

The measures of FSP performance, efficiency and effectiveness, for the most part, are not closely related to the degree of automation, probably because these measures are affected by a variety of other factors in a State's environment, such as staffing, training, State policies, State and county funding, and the availability of knowledgeable technical resources.

With the recent shift towards client self sufficiency espoused under some of the State welfare reform models, the question about whether the automated system meets the needs of the Food Stamp Program may be too narrow. A more appropriate question may be whether the system meets the needs of the clients by providing a single point of access, integrated case management, and increased time with caseworkers trained to assist clients in attaining self sufficiency. States are in the process of conducting welfare reform demonstrations under waivers from Federal agencies that permit an increase in wages that can be supplemented by food stamp benefits, transitional day care, job training, and Medicaid benefits. These welfare reform efforts are greatly facilitated by integrated systems that permit one caseworker to handle a case. Whether highly automated systems are able to be modified to accommodate the changes in eligibility determination and benefit calculation that are necessary remains to be seen. The methods of measuring efficiency and effectiveness, however, focus on process and procedure rather than results. With the encouragement of Vice President Gore and the National Performance Review, States are beginning to formulate new ways of measuring the success of the programs they administer with the development of outcomes measures. For example, systems that permit

increased worker efficiency will no longer be judged by the number of cases a worker can process correctly within a given period of time; the judgment will relate to the increased time a worker will be able to spend with a client who is working towards becoming more self sufficient.

APPENDIX A

CURRENT DEGREE OF AUTOMATION

AND STATE OF DEVELOPMENT TABLES

Table A-1 - Part A

Statewide Search - Searching for active FSP participants within the entire State is considered more automated than regional or county-level searches, which have the potential for duplicate benefit issuance within the State.

Search of Adjoining State/County Databases - Some State systems also perform duplicate participation searches of adjoining State and county databases, to further reduce the potential for FSP fraud and abuse across multiple States.

Check for Current Participation in the FS and AFDC programs - Identifying the existence of a client record in another program is often a time-saver for the worker, especially if the active record can be updated or if the existing information is still relevant. By checking the national Disqualified Recipient System (DRS) file, the potential for client fraud can be further reduced.

Check for Prior Participation in the FS and AFDC programs - If the worker is able to review historical information on a client, e.g., search for a match in the FSP DRS, data entry, verification, and other activities can be minimized.

Search on All Household Members - The older systems tend to be case-based, with information only on the head of household maintained in a format that can be checked for duplicate participation. The more recently developed client-based systems generally are able to search for participation on all household members. A system that is able to search for all household members performs a wider search and has the potential for identifying more fraud and abuse within the system than a system searching only on the head of the household. An applicant is not required to supply information on other household members until the entire application has been completed, usually at the time of the client interview.

On-line Search of Outside Data Files with Immediate Results - When a system is able to perform online searches of outside data files (such as Department of Labor or Department of Motor Vehicle files) some information can be made available on assets and income prior to the interview, enhancing the worker's ability to obtain accurate household information.

Batch Search Initiated at the Time of Application - Batch searches can be initiated at any time prior to the determination of certification and still be responsive to FNS requirements. A batch search that is initiated at the time of application with results available within a 24-hour timeframe reduces the need for the worker to enter the remainder of the application information into the system if a duplicate record is identified during the search. If the search is not conducted until after the application has been entered and the interview conducted, etc., the worker may have wasted considerable effort. A lower weight is given for batch searches at the time of the application registration than is given to on-line searches.

All features on this State data table were equally weighted with the exception of Column (2), Duplicate Participation Check at Time of Application, Adjoining State or County Databases. This feature has been given half the weight of Column (1), Duplicate Participation at Time of Application, Statewide, since it is not as important as Column (1) in reducing the potential for duplicate FSP participation within the State and requires extra worker time.

Table A-1 (Part A)
Application Log In Functionality
Check for Duplicate Participation

State	Scope of FSP Duplicate Participation at time of Application		Check for Current Participation in:			Check for Prior Participation in:			Search of All Household Members	Online Search of Outside Data Files with Immediate Results	Batch Search Initiated at Time of Registration	Level of Functionality Score
	Statewide	Adjoining State/Co Databases	FSP	AFDC	DRS	FSP	AFDC	DRS				
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)				(9)
Data Source	SDCL4A	SDCL4D	SDCA2B1	SDCA2B2	SDCA2B3	SDCA2A1	SDCA2A2	SDCA2A3	SDCA3A	SDCA5D	FSPQJ7A2	Max. Score =
Weight	1.0	0.5	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	0.5	10.0
AK	Y		Y	Y		Y	Y		Y			8.0
AL	Y	Y	Y	Y		Y	Y		Y			6.5
AR	Y		Y	Y					Y	Y		4.0
AZ			Y	Y		Y	Y		Y			5.0
CA	Y		Y	Y		Y	Y		Y			8.0
CO	Y		Y	Y	Y	Y	Y	Y	Y			8.0
CT	Y		Y	Y		Y	Y		Y			8.0
DC		Y	Y	Y		Y	Y		Y			5.5
DE			Y	Y	Y	Y	Y	Y	Y			7.0
FL	Y		Y	Y		Y	Y		Y			8.0
GA		Y	Y	Y		Y	Y		Y			5.5
HI			Y	Y	Y	Y	Y		Y	Y		7.0
IA			Y	Y		Y	Y		Y			5.0
ID	Y		Y	Y	Y	Y	Y		Y	Y		8.0
IL			Y	Y		Y	Y	Y	Y	Y		7.0
IN	Y					Y	Y		Y			4.0
KS	Y		Y	Y		Y	Y		Y			6.0
KY		Y	Y	Y		Y	Y					4.5
LA	Y		Y	Y		Y	Y		Y	Y		7.0
MA	Y		Y	Y		Y	Y					5.0
MD	Y		Y	Y		Y	Y		Y	Y		7.0
ME	Y		Y	Y		Y	Y		Y			6.0
MI	Y		Y	Y		Y	Y					5.0
MN	Y		Y			Y	Y		Y			5.0
MO	Y		Y	Y	Y	Y	Y	Y	Y			8.0
MS	Y		Y	Y		Y	Y		Y			6.0
MT	Y		Y	Y		Y	Y		Y			6.0
NC	Y	Y		Y	Y		Y	Y				5.5
ND			Y	Y		Y	Y		Y			5.0
NE			Y	Y		Y	Y				Y	4.5
NH	Y		Y	Y	Y	Y	Y	Y	Y			8.0
NJ	Y		Y	Y		Y	Y				Y	5.5
NM	Y		Y	Y		Y	Y		Y			6.0
NV	Y		Y	Y		Y	Y					5.0
NY	Y		Y	Y		Y	Y		Y			6.0
OH	Y		Y	Y	Y	Y	Y	Y	Y			8.0
OK	Y		Y	Y		Y	Y		Y			6.0
OR	Y		Y	Y	Y		Y	Y	Y	Y		7.0
PA	Y		Y	Y		Y	Y		Y			6.0
RI	Y		Y	Y		Y	Y					5.0
SC	Y		Y	Y	Y	Y	Y	Y	Y	Y		6.0
SD			Y	Y		Y	Y		Y			5.0
TN		Y	Y	Y		Y	Y		Y			5.5
TX	Y		Y	Y		Y	Y			Y		6.0
UT	Y					Y	Y		Y			4.0
VA	Y		Y	Y		Y	Y		Y	Y		7.0
VT	Y		Y	Y	Y	Y	Y	Y				7.0
WA	Y		Y	Y	Y	Y	Y	Y	Y			8.0
WI	Y		Y	Y		Y	Y					5.0
WV			Y	Y		Y	Y		Y			5.0
WY	Y		Y	Y		Y	Y		Y			6.0
Total States	38.0	6.0	47.0	48.0	12.0	48.0	50.0	11.0	40.0	9.0	2.0	
Percentage	74.5%	11.8%	92.2%	94.1%	23.5%	94.1%	98.0%	21.6%	78.4%	17.8%	3.9%	

Table A-1 - Part B

Full Name - Even though this information is required to file an application, some States do not use the name in the duplicate participation search performed at the time the application is logged onto the system. Once a match has been made on another data element such as the SSN, however, the name is one of several elements used to verify identity. Some systems will perform Soundex searches.

Partial Name - An initial match can be performed by some systems based on a partial last name. If a list of potential matches occurs, other data elements are used to verify identity. A partial name match can save data entry time, but may result in more time to verify identity.

SSN for All Household Members - When SSNs are available for all household members and are used to perform the search, considerable time can be saved if a member is already a member of another household that is

currently participating or previously participated in the FSP. The time savings is possible, however, only if the worker is able to activate and/or update any existing or historical records.

SSN for Head of Household - If a State is able to perform a search only on the SSN for the head of the household, the potential for duplicate FSP participation will exist within the State. Many older systems were case-based, with the search for duplicate participation based on the head of the household because the system did not have individual household member records. In recent years, States have created client cross-reference subsystems or special files in order to perform searches on household members that will point to the appropriate case record if a match is identified.

Date of Birth - This data element will often alert the worker to the need to obtain a SSN for a newborn. It is also used to verify identity when more than one individual appears on a list of potential matches.

Sex and Race - Like DOB, these data elements are used for identity verification.

Client ID Number - Some States use a separate client ID number in place of or in addition to the individual

Table A-1 (Part B)
Application Log In Functionality
Data Elements Used in Duplicate Participation Search

State	Full Name (1)	Partial Name (2)	SSN for all (3)	SSN for HH (4)	DOB (5)	Sex (6)	Race (7)	Client ID # (8)	Automation Score (9)
Source:	SDCA11A	SDCA11B	SDCA11C	SDCA11D	SDCA11E	SDCA11F	SDCA11G	SDCA11H	
Weight	0.5	0.5	1	0.5	0.5	0.5	0.5	0.5	4.5
AK	Y	Y	Y	Y	Y	Y	Y	Y	4.5
AL	Y	Y	Y		Y	Y	Y	Y	4.0
AR			Y	Y					1.5
AZ	Y	Y	Y	Y	Y	Y	Y	Y	4.5
CA	Y	Y	Y		Y	Y			3.0
CO	Y		Y						1.5
CT	Y	Y	Y		Y	Y	Y	Y	4.0
DC	Y	Y	Y	Y	Y	Y		Y	4.0
DE	Y	Y	Y	Y				Y	3.0
FL	Y		Y	Y	Y	Y	Y	Y	4.0
GA	Y	Y	Y	Y	Y	Y		Y	4.0
HI	Y	Y	Y	Y					2.5
IA	Y	Y	Y		Y	Y			3.0
ID	Y	Y		Y	Y	Y			2.5
IL	Y		Y		Y				2.0
IN	Y		Y		Y	Y	Y		3.5
KS		Y	Y		Y	Y			2.5
KY				Y					0.5
LA	Y		Y						1.5
MA			Y						1.0
MD	Y	Y			Y	Y	Y	Y	3.0
ME				Y					0.5
MI	Y	Y	Y	Y	Y			Y	3.5
MN	Y	Y				Y			1.5
MO		Y	Y		Y	Y	Y	Y	3.5
MS	Y		Y						1.5
MT	Y		Y	Y	Y	Y	Y	Y	4.0
NC	Y		Y						1.5
ND	Y	Y	Y	Y	Y	Y			3.5
NE	Y		Y		Y	Y			2.5
NH	Y	Y							1.0
NJ	Y	Y							1.0
NM	Y		Y			Y			2.0
NV	Y	Y	Y	Y					2.5
NY	Y	Y	Y		Y	Y	Y	Y	4.0
OH	Y	Y	Y	Y	Y	Y		Y	4.0
OK	Y		Y		Y	Y		Y	3.0
OR	Y		Y	Y	Y	Y	Y		3.5
PA	Y	Y	Y		Y	Y			3.0
RI	Y	Y	Y		Y				2.5
SC	Y	Y		Y	Y	Y	Y	Y	3.5
SD	Y	Y	Y	Y	Y	Y		Y	4.0
TN									0.0
TX	Y	Y	Y					Y	2.5
UT	Y		Y						1.5
VA	Y	Y	Y	Y					2.5
VT	Y	Y		Y					1.5
WA	Y	Y	Y	Y	Y	Y	Y		4.0
WI				Y					0.5
WV									0.0
WY	Y		Y	Y	Y	Y		Y	3.5
Total States	42.0	31.0	39.0	24.0	29.0	28.0	13.0	19.0	
Percentage	82.35%	60.78%	76.47%	47.06%	56.86%	54.90%	25.49%	37.25%	

Table A-1 - Part C

Application Logged into Terminal - Most States log the application into a terminal so that the automated system can monitor the 30-day application processing period. A receptionist, clerical staff member, or caseworker may perform this function. If the application is not logged into the system via a terminal, the date the application was filed into data entry is entered into the system to monitor the application processing period.

Some Application Information Entered into Terminal - The amount of information from the application that is entered into the terminal at the time the application is filed depends on the availability of a terminal, the availability of clerical resources, the number of applications, and the caseworker's workload. For instance, the more application information that can be entered by clerical staff at the time the application is filed, the less information the caseworker will need to enter. Caseworkers can focus on verifying the information that has been provided by the client and entered when the application is filed.

Case Put on System and Case Number Assigned - The possibility of duplication participation can be reduced if an application is immediately put into an applicant database that becomes a part of the database that is searched during the duplicate participation check. System assignment of case numbers saves time for the worker and reduces errors.

System Assigned Cases to Eligibility Workers - Based on worker caseloads, experience, and other performance factors, some systems have the capability to assign certain types of cases to EWs or to distribute complex versus simpler cases equally among workers within an office.

System Schedules Appointments with Eligibility Workers - Based on the workers' schedule and availability, some systems are able to schedule the client interviews. Usually the system would provide a notice to the client of the date of the interview and enter the scheduled interview date and time on the worker's schedule. Offices without this capability must rely on clerical staff or the workers to perform this task.

System Alerts Eligibility Worker of Special Application Problems or Factors - Some systems give the receptionist or staff who receive the application the option to enter narrative notes into the case record that will alert the worker to special circumstances or concerns regarding an applicant. These alerts could relate to client behavior (anger, potential for violence), handicap requirements, etc.

System Indicates Need for Expedited Service - Some systems determine the client's need for expedited service based on information entered by the receptionist, clerical staff, or worker. Some systems determine the need for expedited service when the initial screening information indicating the need for expedited service is collected and entered into the system by staff who are not experienced caseworkers.

Table A-1 (Part C)
Application Log In Functionality
Other Automation Features

State	Application Logged into Terminal (1)	Some Ap. Info Entered into Terminal (2)	Cases Put On System & Case No. Assigned (3)	System Assigns Cases to EWs (4)	System Schedules Appointments with EW (5)	Sys. Alerts EW of Special App Problems/Factors (6)	Sys. Indicates Need for Expedited Serv. (7)	Level of Functionality Score (8)
Data Source	SDCA1A	SDCA1B	SDCA1C	SDCA8B	SDCA5C	SDCA5E	SDCA8A	Max Score =
Weight	1	1	1	1	1	1	1	8
AK	Y	Y	Y			Y		4
AL	Y	Y	Y					3
AR	Y			Y	Y			1
AZ	Y		Y			Y	Y	4
CA	Y	Y	Y		Y		Y	5
CO	Y							1
CT	Y	Y	Y		Y	Y	Y	6
DC	Y		Y					2
DE	Y	Y	Y	Y		Y		5
FL	Y	Y	Y	Y	Y	Y	Y	7
GA	Y		Y	Y	Y		Y	5
HI	Y	Y						2
IA	Y						Y	2
ID	Y		Y					2
IL	Y		Y				Y	3
IN	Y			Y	Y	Y	Y	5
KS	Y	Y	Y					3
KY	Y	Y			Y		Y	4
LA	Y							1
MA	Y	Y						2
MD	Y	Y	Y		Y	Y	Y	6
ME		Y	Y					2
MI	Y	Y	Y					3
MN	Y		Y	Y		Y		4
MO	Y		Y				Y	3
MS	Y		Y					2
MT						Y		1
NC	Y							1
ND	Y	Y	Y	Y				4
NE	Y							1
NH	Y							1
NJ								0
NM	Y						Y	2
NV		Y						1
NY	Y		Y					2
OH	Y	Y	Y	Y	Y	Y		6
OK	Y	Y	Y					3
OR	Y	Y				Y		3
PA	Y	Y						2
RI	Y	Y						2
SC	Y	Y	Y					3
SD	Y	Y	Y					3
TN	Y		Y				Y	3
TX	Y	Y	Y					3
UT		Y	Y					2
VA	Y	Y		Y	Y	Y		5
VT	Y						Y	2
WA	Y	Y		Y	Y	Y		5
WI	Y				Y		Y	3
WV								0
WY	Y					Y		2
Total States	45	20	27	8	11	14	15	
Percentage	66.2%	51.0%	62.8%	17.9%	21.6%	27.5%	29.4%	

Table A-2

Application Information Entered by the EW On-line at Interview - Automated systems that give the caseworker the ability to enter application information into the system at the time of the interview can save the worker considerable time by avoiding the need to enter information into a paper document for data entry at a later time. There are a number of variations related to this feature. For instance, the system may prompt the worker with appropriate data entry screens, as noted in Column (6), or the system may simply emulate the application form, requiring the worker to select or skip certain segments of the application as appropriate. Regardless of the approach, however, entering information into the system at the time of the interview saves the worker time and may reduce application processing times as well. In table A-2, a weight of "1" in Column (6) indicates that the option to enter information on-line during the interview is not being performed by all workers within a State for all cases. A weight of "2" indicates that the option is available statewide for all workers.

Application Information Entered by the EW On-line after the Interview - With some systems, the caseworker is able to enter the application information into the system on-line immediately after the interview. The system does not require the preparation of a worksheet or a turnaround document. For the worker to enter application information on-line, a terminal or workstation must be readily available for caseworker use.

Application Information Entered On-line by Clerks - Whenever application information is entered by clerical staff, all application information and any calculations that are not performed by the system must be completed by the caseworker and entered onto the application itself or into a worksheet or turnaround document so that clerical staff can enter the data. Although on-line data entry provides some advantages, such as immediate on-line edits, this is the least desirable of the automated features for entering application information. As such this feature receives a lower weight than the features in Columns 1 and 2.

System Copies Historical Records into Current Record - This capability reduces data entry time since the worker need only update any household information that has changed since the record was last active. It also provides additional information with which to validate data on the new application.

System Searches Outside Files While EW is On-line - This is considered to be an advantageous automated feature by those States with this capability, even though it requires additional worker time. The benefit associated with this feature, of course, depends on the timeliness, accuracy, and relevance of the information.

System Presents Relevant Data Entry Screens to Worker - This is the most automated of client interviewing and application completion features. The worker asks questions based on the screen presented, enters the information on-line, and the system then automatically determines what screen should be presented next.

Data Entry Screens Can Be Skipped by Worker - Screens that are not relevant to a particular case can be skipped without the worker being required to make an entry into the screen. This saves the worker time.

Data Entry Screens Have Immediate On-line Edits - Most systems provide some edits during data entry. On-line edits implies that the edits are coming from the central mainframe down to the workstation, while this may not be the case. They could be on-line to the workstation.

Data Entry Screens Emulate Application Form's Format and Sequence - This feature is especially helpful if the data is being entered by clerical staff. Sometimes, the data entry screens emulate the worksheet or turnaround document that is prepared by the caseworker. Whenever data entry personnel are responsible for data entry, this feature is very helpful. It is also helpful for caseworkers but not necessary.

System Provides Calculator Screen - An on-line calculator screen is helpful if the worker must perform preliminary calculations prior to entering data into the system. This feature is found most often in systems that do not perform all of the calculations that are necessary to determine eligibility.

Table A-2
Application Completion and Input of Application Information

State	EW Enters Appl Info Online During Interview (1)	EW Enters Appl Info Online after Interview (2)	Client Enters Appl Info Online after Interview (3)	System Captures Mail, Presents Info Correctly (4)	System Searches Outside Plus While EW is Online (5)	System Presents Password D/E Because to Worker (6)	D/E Searches Can be Stopped by Worker (7)	D/E Searches Have Instantaneous Online Bills (8)	D/E Searches Excludes Appl Form, Format & Submission (9)	System Provides Capabilities (10)	Level of Functionality Score (11)
Data Source	SDCB1A	SDCB1B	SDCB1C	SDCB1A	SDCB1D	SDCB1E	SDCB1F	SDCB1G	SDCB1H	SDCB1I	Max Score = 10
Weight	2	1	0.5	1	1	1	1	1	1	1	10
AK		Y		Y			Y	Y			6.0
AL				Y						Y	2.0
AP			Y	Y	Y			Y			3.5
AZ		Y				Y	Y	Y		Y	5.0
CA	Y			Y		Y	Y	Y	Y	Y	8.0
CO		Y		Y				Y			3.0
CT	Y	Y		Y		Y	Y	Y	Y		6.8
DC	Y	Y		Y			Y	Y		Y	8.8
DE			Y	Y			Y	Y			3.5
FL	Y			Y		Y		Y			5.0
GA	Y			Y		Y	Y	Y		Y	7.0
HI	Y	Y		Y	Y	Y	Y	Y	Y	Y	8.8
IA	Y	Y					Y	Y			3.8
ID		Y		Y	Y	Y	Y	Y			6.0
IL	Y			Y	Y	Y		Y			6.0
IN	Y	Y	Y	Y		Y		Y		Y	8.5
KS		Y		Y		Y		Y			4.5
KY	Y			Y		Y		Y			3.0
LA		Y			Y			Y			3.0
MA		Y		Y				Y			2.0
MD	Y			Y	Y	Y		Y			6.0
ME			Y	Y				Y		Y	3.5
MI		Y		Y							2.0
MN		Y		Y		Y		Y	Y		6.0
MO		Y		Y			Y	Y		Y	6.0
MS		Y		Y				Y	Y	Y	6.0
MT			Y	Y		Y		Y			2.5
NC			Y	Y				Y			2.5
ND		Y		Y		Y		Y	Y		6.0
NE	Y			Y							3.0
NH			Y	Y			Y	Y		Y	4.5
NJ			Y	Y			Y	Y		Y	4.5
NM	Y	Y		Y			Y	Y		Y	6.8
NV				Y							1.0
NY		Y	Y	Y				Y			2.8
OH	Y			Y		Y		Y			6.0
OK		Y		Y	Y			Y			4.0
OR		Y		Y				Y			3.0
PA	Y		Y	Y		Y		Y	Y		6.3
RI	Y	Y		Y				Y	Y		6.0
SC	Y	Y		Y	Y		Y	Y	Y		6.8
SD		Y		Y	Y			Y	Y		6.0
TN	Y			Y		Y	Y	Y		Y	7.0
TX	Y			Y	Y	Y	Y	Y		Y	8.0
UT	Y			Y			Y	Y			6.0
VA		Y	Y	Y			Y	Y		Y	6.8
VT		Y		Y			Y		Y		4.0
WA		Y	Y					Y	Y	Y	3.8
WI			Y	Y			Y	Y	Y	Y	6.5
WV			Y	Y							1.8
WY	Y			Y				Y			3.8
Total States	21	28	16	47	50	18	22	44	15	16	
Percentage	17.86%	23.08%	13.33%	38.67%	41.67%	14.29%	18.18%	36.36%	12.50%	13.33%	

Weighting for Columns 1 - 3: Online entry at time of interview is discounted if it is supplemented by Col. 2 and/or 3.
EW online entry may be optional or not implemented statewide.

Weights:

Col 1 only = 2 points

Cols. 1 + 2 = 1.75

Cols. 1 + 2 + 3 = 1.5

Cols. 1 + 3 = 1.25

Col 2 only = 1

Cols. 2 + 3 = .75

Col 3 only = .5

Table A-3

System Determines Eligibility - Some systems determine eligibility based on the information entered in the system; in other States, the worker determines the eligibility and the system validates the determination.

System Determines People in Household Who Comprise the Assistance Group - The caseworker is required to enter information about all persons living together who may comprise a household. In integrated systems, the household may comprise more than one assistance group, depending on the assistance programs supported by the system. This approach requires the worker to enter information on household members who may not be eligible for food stamp assistance. The benefit associated with this feature is the appropriate definition of household composition, which should reduce worker generated errors in this category.

System Performs Non-Urgent Background Eligibility Processing - Systems with this feature permit the worker to make inquiries or work on a case while awaiting on system response regarding another case. This permits the worker to respond to client telephone inquiries, to continue working cases if the system response time is not immediate, and to work more efficiently.

System Calculates Benefits - The level of automated functionality in calculating benefits varies, from systems that calculate the benefits based on the raw income, resource, and expense data that are entered by the worker during the interview or from an application form, to systems that only calculate the benefit based on the calculation of the monthly budget by the worker. In some systems, the worker is required to verify the benefits that have been calculated and in others the worker is not required to review the benefits.

System Calculates Monthly Gross/Net Income - Applicants provide income information for daily, hourly, weekly, monthly, or other frequency. Monthly income is calculated based on this information. Whenever the worker has to perform the calculations manually, there is a potential for error.

System Calculates Monthly Utilities/Monthly Medical Expenses - As with income, whenever caseworker calculations can be eliminated by an automated system, calculation errors should be reduced.

Table A-3
System Functionality During
Eligibility Determination and Benefit/System Calculations

State	System Determines Eligibility	System Determines People in HH who comprise Assistance Group	System Performs Non-urgent Background Eligibility Processing	System Calculates Benefits	System Calculates Monthly Gross Income	System Calculates Monthly Net Income	System Calculates Monthly Utilities	System Calculates Monthly Medical Expenses	Level of Functionality
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Source Weight	SOC01A 1	SOC01B 1	SOC02 1	SOC01A/B 1	FSPQJ18B 1	FSPQJ18C 1	FSPQJ18D 1	FSPQJ18E 1	Max Score = 5
AK	Y	Y		Y	Y	Y	Y	Y	7
AL	Y			Y	Y	Y			4
AR				Y	Y	Y			3
AZ	Y			Y					2
CA	Y			Y	Y	Y	Y	Y	6
CO	Y			Y	Y	Y			4
CT	Y			Y					2
DC	Y			Y	Y	Y	Y	Y	6
DE				Y	Y	Y	Y	Y	5
FL	Y	Y		Y	Y	Y	Y	Y	7
GA	Y				Y	Y	Y	Y	5
HI	Y			Y					2
IA				Y					Y
ID	Y			Y	Y	Y	Y	Y	6
IL	Y			Y	Y	Y	Y	Y	6
IN	Y	Y		Y	Y	Y	Y	Y	7
KS	Y			Y	Y	Y			4
KY	Y			Y	Y	Y	Y	Y	6
LA				Y	Y	Y			3
MA				Y	Y	Y	Y	Y	5
MD	Y		Y	Y	Y	Y	Y	Y	7
ME	Y				Y	Y			3
MI				Y	Y	Y	Y	Y	5
MN	Y		Y	Y	Y	Y	Y	Y	7
MO				Y	Y	Y			3
MS	Y				Y	Y			3
MT	Y			Y	Y	Y	Y	Y	6
NC					Y	Y			2
ND	Y			Y	Y	Y	Y	Y	6
NE	Y			Y	Y	Y	Y	Y	6
NH	Y				Y	Y			3
NJ	Y				Y	Y	Y		4
NM	Y			Y	Y	Y	Y	Y	6
NV				Y	Y	Y			3
NY				Y	Y	Y	Y		4
OH	Y	Y		Y	Y	Y	Y	Y	7
OK			Y	Y	Y	Y			4
OR			Y	Y	Y	Y	Y	Y	6
PA				Y	Y	Y	Y	Y	5
RI	Y		Y	Y	Y	Y	Y	Y	7
SC	Y			Y					2
SD	Y		Y	Y	Y	Y	Y	Y	7
TN	Y	Y		Y	Y	Y	Y	Y	7
TX	Y				Y	Y	Y		4
UT	Y				Y	Y	Y	Y	5
VA					Y	Y	Y		3
VT	Y		Y	Y	Y	Y	Y		6
WA	Y			Y					2
WI	Y		Y	Y	Y	Y	Y	Y	7
WV	Y					Y			2
WY	Y			Y	Y				3
Total States	37	5	8	41	44	44	31	26	
Percentage	72.9%	9.8%	15.7%	80.4%	86.3%	86.3%	60.8%	51.0%	

Table A-4

System Verifies SSNs - This automated feature validates the SSN of household members.

System Tracks Outstanding Verifications - The system requires the worker to enter a code indicating that information was verified for each data field that requires verification. The system may further track the type of document the worker reviewed to perform the verification; for instance, a birth certificate or payroll stub.

System Screens Alert the Worker of Missing Verifications - This feature provides screen alerts to remind the worker that they must obtain the missing verifications before the applicant can be certified.

Alert Printouts Remind Worker that Information Has Not Been Received - The printouts have the same purpose as the feature described above. Because the information is provided in a paper format, rather than in a screen alert, requiring worker review of the printout, the feature is considered less automated and is given half the weight of the feature discussed above.

System Enforces Verification Requirements - This automated feature requires the worker to enter a verification code without which the applicant cannot be certified.

Table A-4
System Verification Features

State	System Verifies SSNs (1)	System Tracks Outstanding Verifications (2)	System Screens Alert Warrant of Missing Verifications (3)	Alert Printouts Remand Worker That Information Has Not Been Received (4)	System Enforces Verification Requirements (5)	Automation Score (10)
Data Source	FSPQJ18L	FSPQJ18M	SDCC1AE	SDCC1B	SDCC2A	Max Score =
Weight	1	1	1	0.5	1	4.5
AK	Y	Y	Y		Y	4.0
AL	Y	Y				2.0
AR	Y					1.0
AZ		Y			Y	2.0
CA	Y	Y	Y		Y	4.0
CO	Y					1.0
CT			Y		Y	2.0
DC	Y	Y	Y		Y	4.0
DE	Y	Y	Y		Y	4.0
FL	Y	Y	Y		Y	4.0
GA	Y	Y	Y	Y	Y	4.5
HI						0.0
IA	Y					1.0
ID	Y	Y		Y	Y	3.5
IL	Y	Y	Y	Y	Y	4.5
IN	Y	Y	Y			3.0
KS	Y	Y	Y	Y	Y	4.5
KY	Y	Y	Y		Y	4.0
LA	Y		Y			2.0
MA						0.0
MD	Y	Y	Y		Y	4.0
ME	Y			Y		1.5
MI						0.0
MN	Y	Y	Y		Y	4.0
MO	Y				Y	2.0
MS	Y	Y	Y	Y		3.5
MT	Y		Y		Y	3.0
NC	Y					1.0
ND	Y	Y	Y		Y	4.0
NE	Y	Y				2.0
NH	Y	Y	Y	Y		3.5
NJ	Y	Y				2.0
NM	Y	Y	Y		Y	4.0
NV					Y	1.0
NY	Y			Y		1.5
OH			Y		Y	2.0
OK	Y	Y				2.0
OR	Y					1.0
PA	Y	Y	Y		Y	4.0
RI	Y	Y	Y			3.0
SC					Y	1.0
SD	Y	Y	Y		Y	4.0
TN		Y	Y		Y	3.0
TX		Y	Y		Y	3.0
UT	Y		Y			2.0
VA	Y					1.0
VT	Y	Y	Y		Y	4.5
WA						0.0
WI	Y	Y				2.0
WV						0.0
WY	Y		Y			2.0
Total States	30	20	20	8	26	
Percentage	76.47%	66.66%	64.80%	15.68%	80.98%	

Table A-5 - Part A

Computer Matching is Performed When Application is Logged into the System. When the application is logged into the system, matching is performed on other public assistance databases to check for past or current participation. Applicants who are already participating in the Food Stamp Program cannot be enrolled again. Or, if the applicant is a previous participant in any of the assistance programs and the system is integrated, the historical case record can be retrieved, thereby eliminating some of the data entry associated with application processing.

Computer Matching is Performed After Application Log in But Before Interview. Some systems performed the matching before the client interview and before the income and resource information is entered into the system. The matching information is printed out for the case and placed into the case file so that when the interview is conducted the worker is able to review the matching information with the client. States with this feature feel they are able to obtain and verify income and resource information more quickly.

Computer Matching is Performed During the Initial Certification Period. Some States will determine eligibility and provide benefits to a household during the initial certification period, but before all computer matching has been completed. This allows the worker more time to verify the information and yet the State still meets the 30-day application processing period for its applicants.

Computer Matching is Performed at the Time of Recertification. State systems will automatically perform computer matching on all household members at the time of recertification.

System Performs Complete Search of Databases. Complete searches of databases are often necessary if the State is matching on the name, in addition to the SSN.

Table A-5 (Part A)
Computer Matching
System Automation Features

State	Computer Matching is Performed				System Performs Complete Search of Databases (5)	Level of Functionality Score (6)
	When Application is Logged into System (1)	After Application Log in but Before Interview (2)	During Initial Certification Period (3)	At Time of Recertification (4)		
Data Source	FSPQJ26A	FSPQJ26B	FSPQJ26D	FSPQJ26E	MISTQD4(2)	Max Score =
Weight	1	1	1	1	1	5
AK	Y	Y		Y	Y	4
AL	Y		Y	Y	Y	4
AR	Y	Y			Y	3
AZ			Y	Y	Y	3
CA	Y	Y	Y	Y		4
CO	Y		Y		Y	3
CT					Y	1
DC	Y		Y	Y	Y	4
DE					Y	1
FL	Y	Y	Y	Y	Y	5
GA	Y		Y	Y	Y	4
HI			Y	Y	Y	3
IA	Y	Y	Y	Y		4
ID		Y	Y	Y	Y	4
IL	Y				Y	2
IN				Y		1
KS					Y	1
KY		Y	Y	Y	Y	4
LA	Y				Y	2
MA	Y	Y	Y	Y	Y	5
MD	Y	Y	Y	Y		4
ME	Y				Y	2
MI		Y	Y	Y	Y	4
MN					Y	1
MO	Y		Y	Y	Y	4
MS	Y	Y	Y	Y		4
MT			Y	Y	Y	3
NC	Y	Y	Y	Y	Y	5
ND					Y	1
NE	Y				Y	2
NH			Y	Y	Y	3
NJ					Y	1
NM	Y	Y	Y	Y	Y	5
NV	Y		Y			2
NY			Y	Y	Y	3
OH	Y	Y	Y	Y	Y	5
OK	Y	Y		Y	Y	4
OR	Y		Y	Y		3
PA	Y	Y		Y		3
RI	Y				Y	2
SC						0
SD		Y		Y	Y	3
TN	Y		Y	Y	Y	4
TX			Y			1
UT			Y			1
VA		Y	Y		Y	3
VT		Y	Y	Y		3
WA			Y	Y	Y	3
WI		Y	Y	Y	Y	4
WV					Y	1
WY						
Total States	25	20	31	31	38	
Percentage	50.00%	39.22%	60.78%	60.78%	74.51%	

Table A-5 - Part B

Reports Matches Against All Databases. Not all systems provide alerts for all of the databases, meaning that a worker may have to review paper printouts for some databases, such as DMV motor vehicle records, etc.

System Indicates Discrepancies that Exceed Specific Thresholds. A State that has obtained a waiver for using thresholds may report only those discrepancies exceeding a certain dollar amount, thereby eliminating the need for the worker to check out all discrepancies and report resolutions of differences amounting to a few cents.

System Prioritizes Discrepancies and Indicates Urgency. Most States agree that some matching databases provide more useful information than others and that the usefulness of the information is related to the timeliness of the data source. A few States have gone a step further by prioritizing the discrepancy and indicating the urgency of resolution by providing the worker an alert to this effect.

Discrepancies Can be Reviewed in Detail On-line. While not really an alert, the ability to review detailed information about the match while on-line can be quite helpful. Generally, the worker can go directly from the alert message to the detailed information, deciding whether the information should be brought into the case record or not.

Reporting Match Resolutions. States are required to report the results of match resolutions to the federal level. If the system reports the results of the match resolutions to the worker and/or the supervisor, the worker and supervisor can monitor outstanding activities that remain to be completed.

Table A-5 (Part B)
Computer Matching Functionality
System Alerts

State	Reports Matches Against All Databases (1)	System Indicates Discrepancy		System prioritizes discrepancies & indicates urgency (4)	Discrepancies can be reviewed in detail online (5)	System Reports All Match Resolutions to EW (6)	System Reports All Match Resolutions to Supervisor (7)	Level of Functionality Score (8)
		that exceed specified thresholds (2)	as online alert messages (3)					
Data Source	SDCL8A	SDCL8B	SDCL8A	SDCL7A	SDCL10A	SDCL13A1	SDCL13A2	Max Score =
Weight	0.5	1	1	1	0.5	0.5	0.5	5
AK	Y		Y		Y	Y	Y	3.0
AL		Y	Y		Y	Y	Y	3.5
AR		Y	Y		Y		Y	3.0
AZ								0.0
CA		Y	Y	Y	Y	Y	Y	4.5
CO		Y			Y			1.5
CT		Y	Y	Y	Y	Y		4.0
DC		Y	Y		Y	Y		3.0
DE		Y	Y					2.0
FL		Y	Y	Y	Y		Y	4.0
GA	Y							0.5
HI								0.0
IA								0.0
ID	Y							0.5
IL								0.0
IN		Y	Y	Y	Y		Y	4.0
KS		Y	Y			Y		2.5
KY		Y	Y				Y	2.5
LA	Y				Y	Y		1.5
MA		Y						1.0
MD			Y		Y	Y		2.0
ME		Y		Y				2.0
MI		Y				Y	Y	2.0
MN	Y		Y		Y	Y		2.5
MO		Y						1.0
MS	Y		Y		Y	Y	Y	3.0
MT	Y		Y		Y			2.0
NC	Y							0.5
ND	Y		Y		Y		Y	2.5
NE								0.0
NH		Y						1.0
NJ		Y						1.0
NM								0.0
NV	Y							0.5
NY	Y							0.5
OH								
OK	Y		Y		Y	Y	Y	3.0
OR	Y	Y						1.5
PA		Y	Y		Y			2.5
RI	Y		Y		Y	Y		2.5
SC								
SD		Y	Y		Y		Y	3.0
TN		Y	Y		Y			2.5
TX		Y				Y	Y	2.0
UT	Y					Y		1.0
VA								0.0
VT		Y	Y	Y	Y		Y	4.0
WA		Y						1.0
WI	Y							0.5
WV								0.0
WY		Y	Y		Y	Y		3.0
Total States	16	25	23	6	22	16	14	
Percentage	31.37%	49.02%	45.10%	11.76%	43.14%	31.37%	27.45%	

Table A-5 - Part C

State Wages (State Wage Information Collection Agency - SWICA). Wage information is collected from the State agency maintaining this information. States are required to use this information for determining eligibility and calculating benefits.

Unemployment Insurance Benefits (UIB) - States are required to use this information for IEVS matching.

Bank Files - States are not required to match against bank files and only a seven States do so.

DMV Files - States are not required to match against Department of Motor Vehicle files, but 18 of the States indicated they are doing so. States find this to be an effective way to check car registrations.

Other State Agency Files - These include AFDC, General Assistance, Medicaid, and Unemployment Compensation, other employment files, State Non-Assistance Files, FSP Files, other assistance files, and other jurisdictions' wage files. Most States are matching against AFDC, FSP, GA, and Medicaid files.

Table A-5 (Part C)
Non-Federal Databases Used in Computer Matching
Matching Frequency

State	State Wages* (1)	Unemployment Insurance Benefits* (2)	Bank Files (3)	DMV (4)	AFDC* Files (5)	GA Files (6)	Medicaid Files* (7)	Unemployment Compensation Files* (8)	Other Employment Files (9)	State Non- Assistance Files (10)	FSP Files* (11)	Other Assistance Files* (12)	One Jurisdiction Wage Files (13)	No. of Databases (14)
Data Source	MISTQ02A1	MISTQ02B1	MISTQ02H1	MISTQ02J1	MISTQ02J1	MISTQ02K1	MISTQ02L1	MISTQ02O1	MISTQ02R1	MISTQ02S1	MISTQ02T1	MISTQ02V1	MISTQ02W1	
AK	5	5				5	5		2					1
AL		5			5		5				5			4
AR	4	2			5		5	2		2				6
AZ	5	5												2
CA	3	3	3		5		5	1	1		5			6
CO	2	2			2							2		4
CT	5	5	1	5	5	2	5							7
DC	2	4		1			5			2		2		7
DE	1	2		5		5	5	4			5			7
FL	5	5		5			5	5						5
GA	5						5	5						3
HI	5	5		5			2	1						5
IA														0
ID	2	2		5	5	5	5	2						7
IL	5	5	5		5	5	5						5	7
IN														0
KS	2	2					1	1	1	1	1		5	6
KY	2	2			5		4				5			5
LA	2													1
MA	5		4	5			5						2	5
MD														0
ME		5		5					5					3
MI	4	2												2
MN	3	2												2
MO	5	5		5	5	5	5							6
MS	2	2												2
MT														0
NC	5	5		5							5	2		5
ND	3	3	5	5			5		4			2		7
NE	5	5					5				5	5		5
NH	5	5												2
NJ	5	5				2	2							4
NM	5	5		5				5						4
NV	5	5		2										3
NY	2	2												2
OH	4	4			5	5	5	2		2	5			6
OK	2	4			5	5				5	5			6
OR	1	1			2	2		1						5
PA	5	5			2	2	5		5	2	5	2		9
RI	2	2						2	2					4
SC	2	4			5		5							4
SD	2	2		5			5							4
TN	5	5					5		5		5			5
TX	3	3												2
UT	2											2	2	3
VA	2	2		2	2		2				2			6
VT	2	2		2						2				4
WA	2	2											2	3
WI	1	1												2
WV	2	2	2	5	5	5	5							7
WY	2	2	2	5			5	3	3		5			5
Total States	45	43	7	16	16	12	27	13	9	7	13	7	6	
Percentage	84.2%	84.3%	13.7%	35.3%	31.4%	23.5%	52.8%	25.5%	17.6%	13.7%	25.5%	13.7%	11.6%	

Frequency of Match: 5=daily, 4=weekly, 3=biweekly, 2=monthly, 1=less than monthly; 9=not used

Table A-5 (Part D)
Federal Databases Used in Computer Matching
Matching Frequency

State	SSA Wages* (1)	SSA Self Employment* (2)	SSA Benefits (BENDEX) (3)	SSI Benefits (SDX)* (4)	IRS Unearned Income* (5)	SSN Fees (6)	Overlooked Recipient System (7)	Other Federal Files (8)	Total No. of Databases (9)
Data Source	MISTQD2C1	MISTQD2D1	MISTQD2E1	MISTQD2F1	MISTQD2M1	MISTQD2O1	MISTQD2P1	MISTQD2U1	
AK	2	2	2	4	2	2			6
AL	2	2	2	5	2				5
AR	2	2	2	4	2	2			6
AZ	2		2	2	2	2			5
CA	1		5	5	1	5			5
CO	2		2	2	2	2	2	2	7
CT	5	5	5	5	1	5			8
DC	2		2	2	2	2	2	2	7
DE	2	2	2	2	2	2			6
FL	3		3	3	2	2			5
GA	2	2	2	2		2	2		6
HI	2		2	2	1	2			5
IA									0
ID	2	2	2	4	2	2	2		7
IL	5	5	5	5		5	5		6
IN									0
KS	2	2	2	2	2	2			6
KY	2		2	2	2	5	5		6
LA									0
MA	2	2	2	2	2	2			6
MD									0
ME	2		2	2	2	2			5
MI			3	4	2	2			4
MN	2	2	2	2	2	2			6
MO	2	2	2	2	2	2	4		7
MS	2	2	2	2	1				5
MT									0
NC			5	5	6	5	5	2	6
ND	2	2	2	2	2	2		2	7
NE	2			2	2	2		5	5
NH			2	2	2	2	2		5
NJ			5	5		1			3
NM	2	2	2	5	2	2	2		7
NV	2					2			2
NY			5		2				2
OH	3	3	3	3	1	1			6
OK	2	2	2	5	2	5	2		7
OR			1	1		4	2		4
PA	2		5	5	2	2		2	6
RI	2	2	2	2	2	5			6
SC					1				1
SD	2	2	2	2	2	2			6
TN	2	2	5	5	2	5			6
TX	3	3	3	4	2	2			6
UT				7				2	2
VA	2		2	2		2			4
VT	2		2	4	2	2			5
WA					2		2		2
WI	2		2	2	2	2			5
WV	2			2	1	1			4
WY	2	1	1		2	1			5
Total States	37	22	60	41	36	40	13	7	
Percentage	72.9%	43.1%	78.4%	60.4%	78.9%	78.4%	25.9%	13.7%	

Frequency of Match: 5=daily, 4=weekly, 3=biweekly, 2=monthly, 1=less than monthly

* Required for Income Eligibility Verifications System (IEVS) matching

Table A-6

System Generates Notices Automatically or When Worker Initiates. Many systems generate some notices automatically, such as notices about benefit changes resulting from mass system changes. Some systems generate notices only when the worker initiates the notice request. A third option combines both options. Systems which provide both options seem appropriate, as long as worker-initiated notices do not require the worker to key in required portions of text, dates, or other information already contained in the automated client record.

On-line EW Input to Generate Notices is Required/Optional. Only seven systems require EW input to generate client notices. Another 19 systems provide for optional worker input to the notices.

Combined FSP and AFDC Notices. Combined AFDC and FSP notices reduce paper and postage costs. Twenty-six systems are capable of producing combined AFDC and FSP notices.

Verifications. When the system generates a notice, a historical record is maintained of the notice that was generated. This is very helpful to the caseworker as well as to other State staff, especially in cases where benefits need to be recovered, cases closed, or when clients request a fair hearing.

Table A-6
Notice Generation Functionality

STATE	System Generates Notices		Online EW Input to Generate Notices		Combined FBP & AFDC Notices	System Generates the Following Notices:				Level of Functionality Score (1-10)
	automatically (1)	when worker invites (2)	Required (3)	Optional (4)		Adverse Action (6)	Of Benefit: Changes (7)	Re Eligibility & Participation (8)	Re Missing Verifications (9)	
Data Source	SDCH2A	SDCH2B	SDCH3A	SDCH3B	FSPQJ22(1)/(2)	SDCH1D F,I,J	SDCH1G	SDCH1E or H	SDCH1K	Max Score =
Weight	1.0	0.5	0.5	1.0	1.0	1.0	1.0	1.0	1.0	6.0
AK	Y	Y		Y		Y	Y	Y	Y	6.5
AL	Y					Y	Y	Y		4.0
AR				Y			Y			2.0
AZ	Y	Y				Y	Y	Y	Y	5.5
CA	Y	Y		Y		Y	Y	Y	Y	6.5
CO	Y									1.0
CT	Y	Y		Y		Y	Y	Y	Y	6.5
DC	Y	Y			Y	Y	Y	Y		5.5
DE	Y	Y		Y		Y	Y	Y	Y	6.5
FL	Y	Y		Y	Y	Y	Y	Y	Y	7.5
GA	Y	Y				Y	Y	Y	Y	5.5
HI	Y	Y		Y						2.5
IA	Y				Y	Y	Y	Y	Y	6.0
ID	Y	Y			Y					2.5
IL	Y	Y	Y		Y	Y	Y			5.0
IN	Y				Y	Y	Y	Y	Y	6.0
KS	Y	Y	Y	Y	Y	Y	Y	Y	Y	8.0
KY	Y	Y				Y	Y	Y	Y	5.5
LA		Y	Y							1.0
MA	Y				Y	Y	Y	Y		5.0
MD	Y			Y	Y	Y	Y	Y	Y	7.0
ME	Y	Y	Y	Y	Y	Y	Y	Y		7.0
MI	Y	Y		Y	Y	Y	Y	Y		6.5
MN	Y	Y		Y		Y	Y	Y		5.5
MO										0.0
MS	Y	Y	Y							2.0
MT	Y	Y			Y	Y	Y	Y	Y	6.5
NC	Y					Y	Y			3.0
ND		Y	Y			Y	Y	Y	Y	5.0
NE		Y								0.5
NH	Y	Y			Y	Y	Y	Y		5.5
NJ	Y				Y	Y	Y	Y		5.0
NM	Y	Y			Y					2.5
NV	Y	Y				Y	Y	Y		4.5
NY					Y					1.0
OH	Y	Y			Y	Y	Y	Y	Y	6.5
OK	Y				Y	Y	Y	Y	Y	6.0
OR	Y	Y		Y	Y	Y	Y	Y		6.5
PA	Y			Y	Y	Y	Y	Y	Y	7.0
RI	Y				Y	Y				3.0
SC	Y	Y		Y		Y	Y	Y	Y	6.5
SD	Y	Y		Y		Y	Y	Y		5.5
TN	Y	Y			Y				Y	3.5
TX	Y	Y		Y		Y	Y	Y		5.5
UT	Y	Y	Y		Y	Y	Y	Y	Y	7.0
VA	Y					Y	Y	Y		4.0
VT	Y	Y		Y	Y	Y	Y	Y		6.5
WA	Y	Y		Y	Y	Y	Y	Y	Y	7.5
WI	Y	Y			Y	Y	Y	Y		5.5
WV		Y				Y	Y	Y		3.5
WY	Y	Y								1.5
Total States	44	36	7	18	26	30	30	36	21	
Percentage	86.27%	70.59%	13.73%	35.29%	50.98%	76.47%	76.47%	70.59%	41.18%	

Table A-7

System Determines Cases Required to Report - The system automatically identifies households required to submit monthly reports; e.g., those households with changes in their reported income. This feature is time saving.

System Produces Monthly Reports for Mailing - Only two monthly reporting States, Arizona and West Virginia (with a 24-year old system), do not automatically produce the monthly report for mailing.

System Generates Warning Notices for Late Reporters - Worker-generated notices are burdensome to the worker and, if the notice is generated manually, the audit trail is paper-based and subject to errors. If a State relies on monthly reporting, an automated system that automatically generates the notices regarding late reporting is much more efficient than manual procedures.

System Automatically Closes Case if Monthly Report is not Received - This feature is closely tied to the State's policy in handling these cases.

System Indicates Status of MR Automatically - This is a useful feature, especially if data entry staff enter the data from the monthly reports into the system for the worker.

Worker Enters Receipt of MR - Depending on the scope of the State's monthly reporting requirements, worker entry that a monthly report has been received can be very burdensome.

Worker Enters Only Changed Data - This minimizes the workload.

Table A-7
Monthly Reporting (MR) Functionality

State	System Determines Cases Required to Report (1)	System Produces MRs for Mailing (2)	System Generates Warning Notices for Late Reporters (3)	System Automatically Closes Case if MR not Received (4)	System Indicates Status of MR Automatically (5)	Worker Enters Receipt of MR (6)	Worker Enters only Changed Data (7)	Level of Functionality Score (8)
Data Source Weight	SDCN1A 0.5	SDCN1B 0.5	SDCN1D 0.5	SDCN1E 0.5	SDCN2A 0.5	SDCN3A1 0.5	SDCN3B 0.5	Max. Score = 3.5
AK		Y	Y	Y	Y	Y	Y	3.0
AL		Y	Y	Y	Y	Y	Y	2.5
AR								
AZ			Y	Y	Y		Y	2.0
CA	Y	Y	Y	Y	Y	Y	Y	3.5
CO								
CT	Y	Y	Y	Y	Y	Y	Y	3.0
DC		Y	Y	Y	Y	Y	Y	2.5
DE	Y	Y	Y			Y		2.0
FL								
GA	Y	Y		Y	Y	Y	Y	3.0
HI								
IA								
ID								
IL	Y	Y	Y	Y	Y	Y	Y	3.0
IN								
KS	Y	Y	Y	Y	Y	Y	Y	3.0
KY	Y	Y	Y	Y	Y	Y	Y	3.0
LA								
MA								
MD								
ME								
MI	Y	Y	Y	Y	Y	Y	Y	3.5
MN	Y	Y	Y	Y	Y	Y	Y	3.5
MO								
MS		Y	Y	Y	Y	Y		2.5
MT	Y	Y	Y	Y	Y	Y	Y	3.5
NC	Y	Y	Y	Y	Y	Y	Y	3.5
ND								
NE								
NH								
NJ								
NM								
NV								
NY	Y	Y				Y	Y	1.5
OH								
OK								
OR		Y	Y	Y		Y	Y	2.0
PA	Y	Y	Y	Y	Y	Y	Y	3.5
RI	Y	Y	Y	Y	Y	Y	Y	3.0
SC								
SD	Y	Y		Y	Y	Y	Y	2.5
TN								
TX								
UT								
VA								
VT	Y	Y	Y	Y	Y	Y	Y	3.0
WA	Y	Y	Y		Y	Y	Y	2.5
WI	Y	Y	Y	Y	Y	Y	Y	3.0
WV						Y		0.5
WY	Y	Y	Y	Y	Y	Y		2.5
Total	19	24	22	22	22	25	22	
Percentage	37.3%	47.1%	43.1%	43.1%	43.1%	49.0%	43.1%	

FNS no longer requires monthly reporting for everyone in the FSP, only for those whose status changes during the reporting month.

Table A-8

Ad-hoc Management Reporting - The ability of managers to obtain management reports upon request is not a widespread feature of the automated systems. Generally, the ED/BC systems have been developed to support program functionality at the caseworker level, with management-level ad hoc reporting functionality developed and implemented after implementation, if at all. Most managers indicated that the system support for ad hoc reporting was minimal, whether from an automated perspective or from the management information systems group supporting the system and program staff.

Table A-8
Program Management Functionality

State	Ad-hoc Management Reporting (1)	Provides Daily Rpts of Work Needing Attention (2)	E-Mail Available			On-line Policy Manual Connects		On-line Case Narratives (8)	On-line Problem Reporting (9)	Automation Score (10)
			to Send Messages & Memoranda (3)	to all Staff Levels (4)	to Send Policy Changes Statewide (5)	Data Field Policy (6)	Screen & Relevant Policy (7)			
Data Source	FSPQJ65G	SDCO1A	FSPQJ65A	SDCP1A1 SDCP1A2	SDCP1A3	SDCP1B1	SDCP1B2	FSPQJ65E SDCP1E1.2	FSPQJ65F SDCP1F(1)-(3)	Max Score =
Weight	1.0	1.0	0.5	5-1.0	0.5	0.5	0.5	1.0	1.0	7.0
AK			Y					Y		1.5
AL										
AR				some						0.5
AZ			Y		Y				Y	2.5
CA	Y	Y		some	Y			Y	Y	5.5
CO	Y		Y							1.5
CT				all	Y			Y	Y	4.0
DC	Y	Y		some					Y	3.5
DE	Y		Y							1.5
FL	Y	Y	Y	some			Y	Y		4.5
GA		Y	Y							1.5
HI			Y							0.5
IA				all						1.0
ID			Y	all					Y	2.5
IL		Y	Y							1.5
IN	Y		Y	all				Y		3.5
KS		Y	Y	all						2.5
KY		Y								1.0
LA	Y		Y						Y	2.5
MA		Y	Y							1.5
MD	Y		Y	all		Y	Y	Y		4.5
ME		Y		some						1.5
MI									Y	1.0
MN	Y		Y	all		Y	Y	Y	Y	5.5
MO				some	Y					1.5
MS		Y	Y	some						1.5
MT		Y	Y					Y		2.5
NC			Y	some						1.0
ND	Y		Y	all			Y	Y	Y	5.0
NE	Y		Y							1.5
NH			Y	some	Y					2.0
NJ										
NM										
NV										
NY		Y	Y							1.5
OH								Y		1.0
OK			Y	all	Y				Y	3.5
OR			Y	all						1.5
PA										
RI	Y	Y	Y	all			Y	Y		5.0
SC			Y	some					Y	1.0
SD	Y	Y	Y	all	Y	Y		Y	Y	7.5
TN			Y	all	Y			Y		3.5
TX	Y	Y	Y	all	Y			Y	Y	6.5
UT			Y	all				Y		2.5
VA		Y							Y	2.0
VT		Y	Y	all	Y				Y	4.5
WA		Y		all						2.0
WI			Y	some	Y					2.0
WV										
WY	Y		Y	all				Y		3.5
Total States	15	18	33	29	11	3	5	16	15	
Percentage	29.41%	35.29%	64.71%	56.86%	21.57%	5.88%	9.80%	31.37%	29.41%	

Table A-9 (Part A)
Issuance Methods (Descriptive - Not Scored)

States Data Source	Direct Access System/ Percentage (1) SDCG1A PQJMSA,B	ATPs issued			Coupons Mailed				Other Issuance Method (9) SDCG1C PQJMSG	Underlying EBT Error (10) SDCG1D G&E FSPQJMD 45F	Automation Score (11)
		ATPs issued? (2) SDCG8A	Percentage to Households (3) PQJMSd	Percentage to Issuers (4) SDCG8A PQJMSF	Percentage Mailed (5) PQJMS C	by County Offices (6) SDCG1B1	by Central Office (7) SDCG1B2	by Other Issuance (8) SDCG1B3			
AK		Y	30%		70%						
AL					11%				88%	Y	
AR					100%		Y	Y			
AZ					<100%		Y				
CA							Y				
CO						Y	Y				
CT	Y	Y				Y		Y			
DC	Y	Y	100%						Itinerant worker	Y	
DE		Y	100%								
FL		Y								Y	
GA		Y	32%		88%		Y				
HI	Y								100%		
IA		Y						Y		Y	
ID		Y			<100%						
IL					100%						
IN	33% online	Y		88%	2%		Y	Y			
KS					88%	Y			1%		
KY	Y						Y	Y		Y	
LA	Y						Y				
MA	Y						Y	Y			
MD	Y	Y	1%							Y - Statewide	
ME	N	Y			100%					Y - TriState	
MI	85% online	Y			18%		Y			Y	
MN					88%	Y			2%	Y - 18%	
MO		Y	28%		70%		Y		1%		
MS							Y			Y	
MT		Y			<100%	Y			Itinerant worker		
NC		Y	22%		72%				8% -Itinerant worker		
ND					80%			Y	10%		
NE	Y	Y				Y				Y	
NH		Y			<100%	Y					
NJ		Y	<88%		2%		Y			Y	
NM					72%					Y - 28%	
NV	20%	Y			80%		Y				
NY								Y		Y	
OH	Y				Y	Y		Y		Y	
OK		Y	80%		10%						
OR		Y	10%		80%		Y			Y	
PA	Y	Y	51%				Y		47%	Y - 2%	
RI		Y	1%								
SC		Y			<100%	Y	Y			Y	
SD		Y	20%	5%	75%						
TN					100%	Y					
TX		Y	73%		27%		Y		Y - OTC		
UT	Y						Y		Y (Cashout)		
VA		Y	21%		48%	Y			1% Cashout; 33% OT	Y	
VT	Y				<100%	Y					
WA	Y	Y	44%		56%		Y				
WI					80%	Y	Y				
WV					100%		Y				
WY					100%	Y	Y		Itinerant worker	Y	
Total States		28	16	2	33	14	20	0	14	20	
Percentage	0.00%	84.80%	31.37%	3.62%	64.71%	27.45%	45.10%	17.65%	27.45%	36.22%	

Table A-9 (Part B)
FSP Benefits Issuance Functionality

States	System Links Doc. Nos. of Original & Replacement Issuances (1)	System Creates Monthly Issuance Files for Ongoing Cases (2)	System Creates Daily Issuance Files for New & Other Special Issuances (3)	System Checks & Corrects ZIP Codes (4)	System Prevents Issuance until all Application Data are Complete (5)	Check for Duplicate Issuance is Automated (6)	System Provides Online Display of Entire Issuance History (7)	System Prints Name Address & Coupon Amount on Form Used for Sorting, etc. (8)	Level of Functionality Score (9)
Data Sources	SDCG4a	SDCG6a	SDCG6b.c	SDCG4e	SDCG4f	FSPQ40	SDCG4b	SDCG4d	Max. Score =
Weight	1	0.5	0.5	1	1	0.5 - 1.0	1	0.5	6.5
AK	Y	Y	Y		Y	Y	Y		4.5
AL		Y	Y			Y			2.0
AR	Y	Y	Y			Y	Y		4.0
AZ		Y	Y		Y	Y		Y	3.5
CA	Y	Y	Y		Y	Y	Y		5.0
CO	Y	Y	Y			Y	Y		3.5
CT	Y	Y	Y	Y	Y		Y		5.0
DC	Y	Y	Y	Y	Y	Y	Y		6.0
DE	Y	Y	Y		Y	Y	Y		5.0
FL		Y	Y			Y			2.0
GA	Y	Y	Y		Y	Y	Y		5.0
HI	Y					Y	Y		3.0
IA	Y	Y	Y			Y	Y	Y	4.5
ID	Y	Y	Y	Y	Y	Y	Y		6.0
IL		Y	Y	Y	Y	Y		Y	4.5
IN			Y		Y	Y	Y		3.5
KS	Y	Y	Y			Y	Y		4.0
KY	Y	Y	Y		Y	Y		Y	4.5
LA		Y	Y			Y	Y		3.0
MA	Y						Y		2.0
MD	Y	Y	Y						2.0
ME		Y	Y			Y		Y	2.5
MI	Y	Y	Y			Y	Y		4.0
MN	Y	Y	Y	Y	Y	Y	Y	Y	6.5
MO	Y	Y	Y		Y	Y	Y	Y	5.5
MS	Y	Y	Y			Y	Y		4.0
MT	Y	Y	Y			Y	Y		4.0
NC		Y	Y			Y			2.0
ND	Y	Y	Y		Y	Y	Y		5.0
NE	Y	Y	Y			Y	Y		4.0
NH		Y	Y			Y			1.5
NJ	Y	Y	Y			Y			3.0
NM	Y	Y	Y			Y	Y	Y	4.5
NV	Y	Y	Y		Y	Y			4.0
NY		Y	Y		Y	Y	Y		4.0
OH	Y	Y	Y		Y	Y	Y		5.0
OK	Y	Y		Y	Y	Y	Y		5.5
OR	Y	Y				Y	Y		3.5
PA			Y		Y	Y	Y		3.5
RI	Y	Y	Y			Y	Y		4.0
SC	Y	Y	Y	Y	Y	Y	Y		6.0
SD		Y	Y	Y	Y	Y	Y		5.0
TN		Y	Y		Y	Y			3.0
TX		Y	Y			Y			2.0
UT			Y			Y		Y	2.0
VA	Y	Y	Y			Y			2.5
VT	Y	Y	Y			Y	Y		4.0
WA		Y	Y	Y					2.0
WI		Y	Y			Y	Y	Y	3.5
WV									0.0
WY	Y		Y			Y	Y		3.5
Total States	33	44	46	33	44	46	9	22	
Percentage	64.7%	66.3%	60.2%	64.7%	66.3%	60.2%	17.6%	43.1%	

Table A-9 (Part C)
Automated FSP Benefits Issuance Reports

	Monthly Food Coupon Accountability Report FNS-250 (1)	Monthly Issuance Reconciliation Report FNS-46 (2)	Monthly Food Stamp Mail Issuance Report FNS-250 (3)	Monthly Coupon Issuance and Participation Estimates Report FNS-388 (4)	Automation Score (5)
Data Source	FSPQ388A	FSPQ380A	FSPQ388A	FSPQ383A	
Weight	0.5 to 1	0.5 to 1	0.5 to 1	0.5 - 1	Max Score = 4
AK	Partially	Partially	Partially	Partially	2.0
AL	Partially	Partially	Partially	Partially	2.0
AR	Partially	Partially	Partially	1	1.5
AZ	Partially	Partially	Partially	Partially	2.0
CA	Fully	Fully	Fully	Fully	4.0
CO	Fully			Partially	1.5
CT					
DC	Fully	Fully	Fully	Fully	4.0
DE					
FL		Partially		Partially	1.0
GA					
HI					
IA	Partially		Partially	Partially	1.5
ID	Fully	Partially	Fully	Partially	3.0
IL					
IN	Fully	Fully	Fully	Fully	4.0
KS	Fully		Fully		2.0
KY	Partially	Partially	Partially	Partially	2.0
LA				Partially	0.5
MA					
MD					
ME					
MI	Partially	Fully	Partially	Partially	2.5
MN	Fully	Fully	Fully	Fully	4.0
MO	Partially				0.5
MS				Partially	0.5
MT					
NC	Partially	Fully	Partially	Partially	2.5
ND					
NE	Fully	Fully	Fully		3.0
NH					
NJ	Partially	Partially	Partially	Partially	2.0
NM	Fully	Fully	Fully	Fully	4.0
NV	Partially	Partially	Partially	Fully	2.5
NY		Partially			0.5
OH			Fully		1.0
OK	Fully		Fully		2.0
OR					
PA		Partially		Fully	1.5
RI		Partially		Partially	1.0
SC		Partially		Fully	1.5
SD					
TN	Partially	Partially	Partially	Fully	2.5
TX	Fully		Fully		2.0
UT	Fully	Fully	Fully	Fully	4.0
VA	Partially	Partially	Partially		1.5
VT	Partially	Partially	Partially	Partially	2.0
WA					
WI	Partially	Partially	Partially	Partially	2.0
WV	Partially	Partially	Partially	Partially	2.0
WY					
Total States	28	27	27	28	100%
Percentage	64.3%	62.3%	62.3%	64.3%	64.3%

FNS-250 - used by coupon issuers and bulk storage points, ATP states, and coupon mailing states

FNS-46 - by all states operating an issuance system. - reports values and no. of issuances that do not reconcile with Record for Issuance or MIF.

FNS-250 - for states with mail issuance systems

FNS-388 - by phone or computer and then mail to RO for current and previous month and actual or final participation totals for second preceding month.

Table A-10 (Part A)
Automated Claims and Collections Functionality

States	Claim System Integrated with FSP System (1)	Separate Claim System Exchanging Data with FSP System (2)	Claims System Tracks Claims Status (3)	System Generates Notice of Over/Under Payment (4)	Online Entry of Cause of Over or Under Payments (5)	Online Entry of whether fraud is Suspected (6)	Level of Functionality Score (7)
Data Sources	SDCJ1a	SDCJ2a	SDCJ3a	SDCJ3d	SDCJ1a	SDCJ1b	
Weight	1	6=Daily; 4=weekly	1	1	1	1	Maximum Score=6
AK	Y		Y	Y	Y	Y	5.0
AL		Daily	Y	Y	Y	Y	4.6
AR			Y		Y	Y	3.0
AZ	Y		Y				2.0
CA	Y		Y	Y	Y	Y	5.0
CO	Y	Daily	Y		Y	Y	4.6
CT	Y		Y	Y	Y	Y	5.0
DC	Y		Y	Y	Y	Y	5.0
DE				Y	Y	Y	3.0
FL	Y	Weekly		Y	Y	Y	4.4
GA	Y		Y	Y			3.0
HI	Y				Y		2.0
IA							0.0
ID	Y		Y	Y	Y	Y	5.0
IL		Daily	Y	Y	Y	Y	4.6
IN	Y		Y	Y	Y	Y	5.0
KS	Y		Y		Y		3.0
KY	Y		Y	Y	Y	Y	5.0
LA							0.0
MA			Y	Y			2.0
MD	Y		Y	Y	Y	Y	5.0
ME	Y		Y		Y		3.0
MI	Y		Y		Y	Y	4.0
MN	Y		Y	Y	Y	Y	5.0
MO		Daily	Y	Y	Y		3.6
MS	Y		Y	Y	Y	Y	5.0
MT	Y	Weekly	Y	Y	Y	Y	5.4
NC	Y		Y	Y	Y	Y	5.0
ND	Y		Y	Y	Y	Y	5.0
NE			Y				1.0
NH							0.0
NJ	Y		Y	Y	Y	Y	5.0
NM		Daily	Y	Y	Y	Y	4.6
NV	Y		Y		Y	Y	4.0
NY	Y	Daily	Y		Y	Y	4.6
OH	Y		Y	Y	Y	Y	5.0
OK	Y		Y	Y			3.0
OR		Daily	Y	Y			2.6
PA							0.0
RI	Y		Y	Y			3.0
SC	Y						1.0
SD			Y	Y	Y	Y	4.0
TN		Daily	Y	Y			2.6
TX			Y				1.0
UT							0.0
VA				Y			1.0
VT	Y		Y	Y	Y	Y	5.0
WA	Y			Y	Y		3.0
WI		Daily	Y	Y	Y	Y	4.6
WV			Y		Y	Y	3.0
WY	Y		Y	Y	Y	Y	5.0
Total States	31	11	40	33	35	30	
Percentage	60.6%	21.6%	78.4%	64.7%	68.6%	58.6%	

Table A-10 (Part B)
Automated Claims and Collections Functionality

States	System Creates Collection Record After Claim is Established	System Calculates Correct Benefit Amount for Claim	System Calculates Monthly Recoupment Amount	System Subtracts Recoupment Amount from Monthly Allowment	System Determines Collection Method	System Displays Screen of Complete Collection Record	System Maintains Online Record of Outstanding Claims	System Maintains Online Record of Claims Collected	Level of Functionality Score
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Source	FSPQJ47A	SDCJ28	SDCJ36; FSPQJ82	SDCJ36; FSPQJ82	SDCK1b	SDCK2b	FSPQJ61	FSPQJ61a(1)	Max Score = 8
Weight	Partially 5; Fully = 1	1	1	1	1	1	1	1	
AK	Partially	Y	Y	Y	Y	Y	Y	Y	7.5
AL	Y		Y	Y	Y	Y	Y	Y	7.0
AR			Y	Y			Y	Y	4.0
AZ	Y		Y	Y		Y	Y		5.0
CA	Partially		Y	Y		Y	Y	Y	5.5
CO	Y	Y	Y	Y	Y	Y	Y	Y	8.0
CT			Y	Y					2.0
DC	Y		Y	Y		Y	Y	Y	8.0
DE	Partially		Y	Y			Y	Y	4.5
FL	Partially			Y			Y	Y	3.5
GA	Partially	Y	Y	Y	Y	Y	Y	Y	7.5
HI	Partially						Y	Y	2.5
IA	Y		Y	Y			Y	Y	6.0
ID	Y	Y	Y	Y	Y	Y	Y	Y	8.0
IL	Y		Y	Y		Y	Y	Y	6.0
IN	Y	Y	Y	Y		Y	Y	Y	7.0
KS	Y	Y	Y	Y		Y	Y	Y	7.0
KY			Y	Y		Y			3.0
LA	Y		Y	Y			Y		4.0
MA	Y		Y	Y		Y	Y	Y	6.0
MD			Y	Y		Y	Y	Y	5.0
ME	Partially		Y	Y	Y	Y	Y	Y	8.5
MI	Y	Y	Y	Y		Y	Y	Y	7.0
MN	Partially		Y	Y		Y	Y	Y	5.5
MO	Y	Y	Y	Y		Y	Y	Y	7.0
MS	Partially	Y	Y	Y		Y	Y		5.5
MT	Y		Y	Y	Y		Y	Y	6.0
NC	Y		Y	Y		Y	Y	Y	6.0
ND	Y		Y	Y		Y	Y	Y	6.0
NE	Manual		Y	Y			Y	Y	4.0
NH	Y							Y	2.0
NJ	Y		Y	Y			Y	Y	5.0
NM	Y		Y	Y		Y	Y	Y	6.0
NV	Partially		Y	Y		Y	Y	Y	5.5
NY	Y	Y	Y	Y	Y		Y	Y	7.0
OH	Y		Y	Y		Y	Y	Y	6.0
OK	Y	Y	Y	Y	Y	Y	Y	Y	6.0
OR			Y	Y	Y	Y	Y	Y	6.0
PA			Y	Y			Y	Y	4.0
RI	Y		Y	Y		Y			4.0
SC					0	0			0.0
SD	Y	Y	Y	Y		Y	Y	Y	7.0
TN	Y	Y	Y	Y			Y	Y	6.0
TX	Partially		Y	Y		Y	Y	Y	5.5
UT	Partially		Y	Y			Y		3.5
VA	Manual			Y					1.0
VT	Y		Y	Y	Y	Y	Y	Y	7.0
WA	Manual		Y	Y		Y		Y	4.0
WI	Manual		Y	Y		Y	Y	Y	5.0
WV	Y		Y	Y		Y	Y	Y	6.0
WY	Y	Y	Y	Y		Y	Y		6.0
Total States	41	14	45	46	11	34	44	41	
Percentage	80.39%	27.49%	86.34%	94.12%	21.57%	86.67%	86.27%	80.39%	

Table A-11
Level of System Integration

State	System Name (Acronym)	Scope	Functions	FSP	AFDC	Medicaid	GA	Child Welfare	Other	Integr Level *
AK	Eligibility Information System (EIS)	Statewide	ED/BC, Iss	✓	✓	✓	✓			4
AL	State and County Integrated System for Certification (SCI-II) Public Assistance Reporting System (PARS) Income Eligibility Verification System (IEVS) Child Support System (CHILD SUP) Comprehensive Claims System (CCS)	Statewide Statewide Statewide Statewide	ED/BC, Iss ED/BC, Iss ED/BC	✓ ✓ ✓	✓ ✓	✓ ✓			✓	1
AR	Food Stamp Automation Client Tracking System (FACTS) Income Eligibility Verification System (IEVS) Arkansas Client Eligibility System (ACES) Child Protection System (CPS) Separate Claims System Separate Cross Reference File for FACTS/ACES	Statewide Statewide Statewide Statewide	ED/BC, Iss	✓ ✓	✓ ✓	✓ ✓		✓		1
AZ	Arizona Technical Eligibility Computer System (AZTECS) Assistance Program Information System (APIS) Child Welfare/Title IV-E (ASSIST) Pre Application Screening System (PASS) Income Eligibility Verification System (IEVS) Scratch Pad Unknown	Statewide Statewide Statewide	ED/BC, Iss ED Searches Matching sys Budget com	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓		2
CA										
CO	Colorado Automated Food Stamp System (CAFSS) Client Oriented Information Network (COIN) CWEST CHATS Income Eligibility & Verification System (IEVS) Benefits Eligibility Tracking System of Colorado (BETS-C)	Statewide	ED/BC		✓ ✓ ✓ ✓	✓ ✓ ✓ ✓		✓ ✓ ✓ ✓	✓	1
CT	Eligibility Management System (EMS)	Statewide	ED/BC, Iss	✓	✓	✓	✓		✓	5
DC	Automated Client Eligibility Determination System (ACEDS)	Statewide	ED/BC, Iss	✓	✓	✓	✓			5
DE	Delaware Client Information System (DCIS) Separate Claims System	Statewide	ED/BC, Iss	✓	✓	✓	✓	✓		4 5
FL	Florida On-Line Recipient Integrated Data Access (FLORIDA)	Statewide	ED/BC, Iss	✓	✓	✓			Refugee Assistance	5

Table A-11
Level of System Integration

State	System Name (Acronym)	Scope	Functions	FSP	AFDC	Medicaid	GA	Child Welfare	Other	Integr Level *
GA	Public Assistance Reporting Information System (PARIS) Public Assist. Reporting Info. System - On-line (PARISOL) PJAM	Statewide Statewide Statewide	ED/BC, Iss ED/BC, Iss	✓ ✓ ✓	✓ ✓ ✓	✓ ✓	✓			3
HI	Hawaii Automated Welfare Information System (HAWI) Automated Recovery System (ARS)	Statewide	ED/BC, Iss Claims	✓ ✓	✓ ✓	✓	✓			4
IA	ABC System Foster Care Maintenance Food Stamp Issuance System Overpayments System (OVPI)	Statewide	ED/BC, Iss Issuance Overpayments	✓ ✓	✓ ✓	✓				2
ID	Eligibility Programs Integrated Computer Systems (EPICS)	Statewide	ED/BC, Iss	✓	✓	✓				5
IL	Client Information System (CIS) Accounts Receivable System (ARS)	Statewide Statewide	ED/BC, Iss Claims	✓ ✓	✓ ✓	✓	✓			4 5
IN	Indiana Client Eligibility System (ICES) Food Stamp System (TANDEM)	Statewide Statewide	ED/BC, Iss ED/BC, Iss	✓ ✓	✓	✓				5
KS	Kansas Autom. Elig./Child Support Enforcemt. Sys. (KAECSES) Food Stamp Issuance System	Statewide Statewide	ED/BC, Iss Issuance	✓ ✓	✓	✓	✓	CSE	Social Svcs	5
KY	Kentucky Automated Eligibility & Mgmt. System (KAMES) Claims Tracking for Closed Cases (CLAIMS)	Statewide Statewide	ED/BC, Iss Claims	✓ ✓	✓ ✓	✓ ✓	✓		State Suppl.	4
LA	Food Stamp Management Information System (FSMIS) State Income & Eligibility Verification System (SIEVS) Recovery System (RECOVER) State Client Data Management System (SCDM) Welfare Information System (WIS)	Statewide Statewide Statewide Statewide Statewide	ED/BC, Iss Matching Claims Central indx ED/BC	✓ ✓ ✓ ✓ ✓	 ✓ ✓ ✓ ✓	 ✓				1
MA	Program Automated Calculation and Elig. System (PACES) Income and Eligibility Verification System (IEVS) Food Stamp System (FSS) Centralized Recoupment Unit (CRU) Centralized Receivable System (CARS) Overpayments System Special Services Payment System (SPSS) Case Management Tracking System (CMTS) Financial Management Control System (FMCS) PRISM Benefit Eligibility & Control Online Network (BEACON)	Statewide Statewide Boston Statewide Statewide Statewide Statewide Statewide	ED/BC, Iss Matching Financial Recoupmt. Receivables Overpaymt. Financial Claims IEVS Supp. Repl ED/BC	✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓ ✓	✓ ✓	✓			1

Table A-11
Level of System Integration

State	System Name (Acronym)	Scope	Functions	FSP	AFDC	Medicaid	GA	Child Welfare	Other	Integr Level *
MD	Automated Information Management System (AIMS) Automated Master File (AMF) Clients' Automated Resource and Eligibility System (CARES) Income & Eligibility Verification System (IEVS) Electronic Benefits Transfer System (EBTS)	Statewide Statewide Statewide Statewide Statewide	ED/BC, Iss Indiv. records Repl. AIMS ED/BC Issuance	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ Child Supp.	5
ME	MICS	Statewide	ED/BC, Iss	✓	✓	✓				3.5
MI	Client Information System (CIS) Local Office Automation (LOA) Food Stamp Issuance System (FS ISS) Automatic Recovery System (ARS) Automated Soc. Svces. Info. and Support System (ASSIST)	Statewide Statewide Statewide Statewide Statewide	ED/BC, Iss ED/BC Bdgt Issuance Recoupment Replacement	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ State Assist.	2.5
MN	MAXIS	Statewide	ED/BC, Iss	✓	✓	✓				5
MO	Food Stamp System (FSU5) Income Maintenance System (IMU5) CHILD SUP Claims & Restitutions System (CARS) Food Stamp Budgeting Calculation System (FBCA)	Statewide Statewide Statewide Statewide Statewide	ED/BC, Iss ED/BC, Iss ED/BC, Iss Claims ED/BC Bdgt	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	1
MS	Mississippi Automated Verification Eligibility Reporting Information Control System (MAVERICS)	Statewide	ED/BC, Iss	✓	✓	✓				5
MT	The Economic Assistant Management System (TEAMS) Accounts Receivable System (ARS)	Statewide Statewide	ED/BC, Iss Trk Collection	✓ ✓	✓ ✓	✓ ✓				4
NC	Food Stamp Information System (FSIS) Eligibility Information System (EIS) Claims Tracking/Closed Cases	Statewide Statewide Co. Dev'd	ED/BC, Iss ED/BC, Iss Claims supp.	✓ ✓ ✓	✓ ✓ ✓	✓ ✓ ✓				1
ND	Technical Eligibility Computer System (TECS)	Statewide	ED/BC, Iss	✓	✓	✓		✓		5
NE	Food Stamp System (FOOD STAMPS) Income & Eligibility Verification System (IEVS) Public Assistance Eligibility (PAE) CLAIMS	Statewide Statewide Statewide Statewide	ED/BC, Iss Master Reg. ED/BC, Iss Claims	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓			1
NH	EMS Claims System	Statewide HQ	ED/BC, Iss Claims supp.	✓ ✓	✓ ✓	✓ ✓			✓	4

Table A-11
Level of System Integration

State	System Name (Acronym)	Scope	Functions	FSP	AFDC	Medicaid	GA	Child Welfare	Other	Integr Level *
NJ	Family Assistance Management Information System (FAMIS) ABADAS	Statewide 12 counties	ED/BC, Iss Claims	✓ ✓	✓ ✓	✓ ✓				4
NM	Integrated Service Delivery Sys for the Income Support Div (ISD2) Claims System (CLAIMS) Electronic Benefits Transfer System (EBT) Computer Matching System	Statewide Statewide Albuquerque	ED/BC, Iss Issuance Matching	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓	✓			4
NV	FOOD STAMPS Nevada Operations of Multi-Automated System (NOMADS) Eligibility & Payment System (ELIGIBILITY) Child Welfare System Medicaid System (MEDICAID) Claims System Issuance System	Statewide 1995 Impl. Statewide Statewide	ED/BC, Iss ED/BC, Iss ED/BC, Iss Case mgmt. Payments Iss. Claims support Iss. support	✓ ✓	✓ ✓	✓ ✓ ✓			CSE, JOBS	1
NY	Welfare Management System-Upstate (WMS-U) Welfare Management System-Downstate (WMS-D) Electronic Benefits Issuance & Control System (EBICS) Benefit Issuance Control System (BICS) Electronic Payment Funds Transfer (EPFT) Claims System Fair Hearing System	57 cos. NYC 57 cos. 57 cos. NYC NYC Statewide	ED/BC ED/BC Issuance Reconcil. Issuance Claims Tracking	✓ ✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓	✓ ✓			2
OH	Client Registration Information System - Enhanced (CRIS-E)	Statewide	ED/BC, Iss	✓	✓	✓	✓			5
OK	Integrated Client Information System (ICIS) Case Information System (CI)	Statewide Statewide	ED/BC, Iss ED/BC	NPA ✓	✓ ✓	✓ ✓	✓			3
OR	Food Stamp Management Information System (FSMIS) Client Directory (CD) Overpayments Recovery System (OVP) Client Management System (CMS) Notice Writing System Online Help System (Assist/GT)	Statewide Statewide Statewide Statewide Statewide Statewide	ED/BC, Iss Searches ED supp. ED/BC, Iss Notices Policy man.	✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓	✓ ✓	✓		1
PA	Client Information System (CIS) Income Eligibility Verification System (IEVS3) Referral Management System MAPPER (RMS) Monthly Reporting System (MAPPER)	Statewide Statewide Statewide Statewide	ED/BC, Iss ED/BC Claims Reporting	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓	✓			3 5
RI	INRHODES	Statewide	ED/BC, Iss	✓	✓	✓	✓	✓		5

Table A-11
Level of System Integration

State	System Name (Acronym)	Scope	Functions	FSP	AFDC	Medicaid	GA	Child Welfare	Other	Integr. level *
SC	Client History Information Profile (CHIP) CIS	Statewide Statewide	ED/BC, Iss ED/BC	✓	✓	✓				3
SD	ACCESS SS52	Statewide Statewide	ED/BC, Iss Claims/colls.	✓	✓	✓			JOBS	4.5
TN	Automated Client Certification & Eligibility Network (ACCENT) Claims On-line Tracking System (COTS) TN Welfare Integrated Services System (TWISS)	Statewide Statewide Statewide	ED/BC, Iss Claims Case data only	✓ ✓ ✓	✓ ✓ ✓	✓		✓ ✓	✓ ✓	4.5
TX	System for Applic., Verif., Elig., Referral & Reprting. (SAVERR) Welfare Network (WELNET) Generic Worksheet (GWS) Accounts Receivable System (ARS) Regional Recovery Unit System (RRUS)	Statewide Statewide Statewide Being rep. Statewide	ED Database Networking PC appl./ED Claims	✓ ✓	✓ ✓	✓ ✓				3.5
UT	Public Assist. Case Management Information System (PACMIS) Office of Recovery Services (ORS)	Statewide Statewide	ED/BC, Iss Claims	✓ ✓	✓ ✓	✓	✓			4
VA	Virginia Client Information System (VACIS) Income Eligibility Verification System (IEVS) Claims Payment System Application Tracking System (APTRACK) Front-end ED System (ADAPT)	Statewide Statewide Statewide Statewide In impl.	ED/BC, Iss Matching Claims supp. ED/BC	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓	✓	✓	State prgms. State prgms.	2
VT	ACCESS	Statewide	ED/BC, Iss	✓	✓	✓	✓	✓	State prgms.	5
WA	ACES Income Eligibility Tracking System (IEVS) Claims Recovery System (CRS) Interactive Terminal Input System (ITIS) Application Management System (SAMS) Accounts Receivable Monitoring System (ARMS) Food Stamp Accounting System (FSAS) Registration & Control of Negotiables (RCNS) Financial Super System (FSS) Verification Overpayment Control System (VOCS) Financial Resources Eligibility Determination System	Statewide Statewide Local Statewide Local Statewide Local Statewide Local	Under dev. PC-based Case mgmt. PC-based PC-based Iss/bar cding Mng negotbl PC-based Compl track PC-based	✓ ✓ ✓ ✓	✓ ✓	✓ ✓	✓ ✓			2

Table A-11
Level of System Integration

State	System Name (Acronym)	Scope	Functions	FSP	AFDC	Medicaid	GA	Child Welfare	Other	Integr Level *
WI	Computer Reporting Network Income Maintenance Program (CRN-IMP)	Statewide	ED/BC, Iss	✓	✓	✓				2
	Work Program System (WIDS-WPR)	Statewide		✓						
	WIDS									
	Claims System (FOODBAC)	Statewide	Claims/coll	✓						
	Claims Collection System									
	Client Assistance for Reemployment and Economic (CARES)	In dev.		✓	✓	✓				
WV	Food Stamp/AFDC System (C219)	Statewide	ED/BC, Iss	✓	✓					2
	Medicaid System (M219)	Statewide	ED/BC, Iss			✓				
	Automated Repayment & Tracking System (ARTS)	Statewide								
WY	Eligibility Payment Information Computer System (EPICS)	Statewide	ED/BC, Iss	✓	✓	✓	✓			3.5
	Payee Analysis Intercept System (PAIS)	Statewide	Matching	✓	✓					
	Office of Recovery System (ORS)	Statewide	Claims	✓	✓					

* Integration Level Key -

1 = Very low

2 = Low

3 = Moderate

4 = Moderately high

5 = High

Table A-12
Degree of Automation/Stage of Development

State	Level of Functionality (A)	Level of Integration (B)	Degree of Automation (A+B=C)	Years Since System Completion	Status of Replacing System
AK	5	4.0	9.0	10	P
AL	3	1.0	4.0	11	N
AR	2	1.0	3.0	12	
AZ	2	2.0	4.0	6	
CA	5	N/A	N/A		
CO	2	1.0	3.0	11	P
CT	3	5.0	8.0	9	
DC	5	5.0	10.0	1	
DE	3	4.5	7.5	9	P
FL	5	5.0	10.0	2	
GA	4	3.0	7.0	10	P
HI	2	4.0	6.0	6	
IA	2	2.0	4.0	10	
ID	4	5.0	9.0	8	

Table A-12
Degree of Automation/Stage of Development

State	Level of Functionality (A)	Level of Integration (B)	Degree of Automation (A+B=C)	Years Since System Completion	Status of Replacing System
NE	2	1.0	3.0	8	P
NH	2	4.0	6.0	16	P
NJ	2	4.0	6.0	7	P
NM	3	4.0	7.0	11	
NV	1	1.0	2.0	16	D
NY	2	2.0	4.0	12	
OH	4	5.0	9.0	2	
OK	4	3.0	7.0	7	
OR	3	1.0	4.0	18	P
PA	3	3.5	6.5	1	
RI	3	5.0	8.0	4	
SC	2	3.0	5.0	5	
SD	5	4.5	9.5	8	
TN	4	4.5	8.5	2	
TX	3	3.5	6.5	4	D
UT	2	4.0	6.0	5	
VA	2	2.0	4.0	2	I
VT	5	5.0	10.0	11	N
WA	2	2.0	4.0	17	D
WI	4	2.0	6.0	14	D
WV	1	2.0	3.0	24	H
WY	2	3.5	5.5	7	

Key for column 6: P = Planning, D = Developing, I = Implementing, N = Investigating, H = Development Halted

Table A-13
Degree of Automation/Stage of Development
Ordered from oldest to Newest System

State	Years Since System Completion	Status of Replacing System	Degree of Automation	Level of Functionality	Level of Integration
WV	24	H	3.0	1	2.0
OR	18	P	4.0	3	2.0
WA	17	D	4.0	2	2.0
MI	17	D	4.5	2	2.5
NH	16	P	6.0	2	4.0
NV	16	D	2.0	1	1.0
LA	15	I	2.0	1	1.0
MO	14	P	3.0	2	1.0
WI	14	D	6.0	4	2.0
NY	12		4.0	2	2.0
AR	12		3.0	2	1.0
CO	11	P	3.0	2	1.0
ME	11	D	5.5	2	3.5
AL	11	N	4.0	3	1.0
NM	11		7.0	3	4.0
VT	11	N	10.0	5	5.0
AK	10	P	9.0	5	4.0
GA	10	P	7.0	4	3.0
ND	10		9.0	4	5.0
IA	10		4.0	2	2.0
NC	10	P	3.0	2	1.0
DE	9	P	7.5	3	4.5
CT	9		8.0	3	5.0
SD	8		9.5	5	4.5
NE	8	P	3.0	2	1.0
ID	8		9.0	4	5.0
NJ	7	P	6.0	2	4.0
OK	7		7.0	4	3.0
WY	7		5.5	2	3.5

IL	7		7.5	3	4.5
MS	6		8.0	3	5.0
HI	6		6.0	2	4.0
AZ	6		4.0	2	2.0
UT	5		6.0	2	4.0
SC	5		5.0	2	3.0
KS	5		9.0	4	5.0
TX	4	D	6.5	3	3.5
RI	4		8.0	3	5.0
MN	3		10.0	5	5.0
OH	2		9.0	4	5.0
TN	2		8.5	4	4.5
VA	2	I	4.0	2	2.0
FL	2		10.0	5	5.0
DC	1		10.0	5	5.0
PA	1		6.5	3	3.5
MT	1		7.0	3	4.0
IN	<1		9.0	4	5.0
KY	<1		8.0	4	4.0
MD	1	I	9.0	4	5.0
MA	0	P	3.0	2	1.0
CA	0		N/A	5	N/A

Key for column 6: P = Planning, D = Developing, I = Implementing, N = Investigating, H = Development Halted

Table A-14
Current Status of System Development Efforts

State	ED/BC						EBT (7)
	Years Since Initial Completion (1)	Adding New Assistance Programs (2)	Adding New Functionality (3)	Upgrading System Architecture (4)	Tuning Technical Performance (5)	Replacing ED/BC System (6)	
Alaska	10	P, D		D		P	
Alabama ^{FSP only}	11			D		Inv.	P
Arkansas ^{FSP only}	12	D					Inv.
Arizona	6	P, D		P			P
California							
Colorado ^{FSP only}	11	P, D, I				P	Inv.
Connecticut	9	P			OG		P
Wash. D.C.	1		D	P			P
Delaware	9		P	P		P	Inv.
Florida	2		P, D	P	P		P
Georgia	10					P	P
Hawaii	6	P	OG	P	OG		
Iowa	10		P		P		E
Idaho	8			D, I	D, I		
Illinois	7	P	P	P			Pi
Indiana	<1			P	P		
Kansas	5		P				P
Kentucky	<1	E					
Louisiana ^{FSP only}	15					D, P, I	P
Massachusetts		P	P			P	P
Maryland	<1					I	G
Maine	11					P, D	P
Michigan	17					D	P
Minnesota	3	OG	OG	P	OG		Pi, E
Missouri ^{FSP only}	14				OG	P	P
Mississippi	6	P	P	OG	OG		P
Montana	1		P	P	OG		
North Carolina ^{FSP only}	10					P	Inv.
North Dakota	10		P				P
Nebraska ^{FSP only}	8					P	

Table A-14
Current Status of System Development Efforts

State	ED/BC						EBT (7)
	Years Since Initial Completion (1)	Adding New Assistance Programs (2)	Adding New Functionality (3)	Upgrading System Architecture (4)	Tuning Technical Performance (5)	Replacing ED/BC System (6)	
New Hampshire	16					P	P
New Jersey	7			P		P	I
New Mexico	11		P	P	P		E
Nevada ^{FSP only}	16					D	
New York	12		P, D				E
Ohio	2				OG		D-E
Oklahoma	7	I					P
Oregon ^{FSP only}	18			D	D	P	P
Pennsylvania	1			P	P		Pi
Rhode Island	4			P	P		
South Carolina	5			D	D		D
South Dakota	8			P			P
Tennessee	2						Inv.
Texas	4		P, Pi		P	D	D
Utah	5			P			P
Virginia	2			I		I	Inv.
Vermont	11		OG?	Inv.	Inv.	Inv.	P
Washington ^{FSP only}	17					D	
Wisconsin	14			P		D	Inv.
West Virginia	24				OG	D-H	
Wyoming	7	I			OG		E-D

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
AK	Eligibility Information System (EIS) [FSP, AFDC, Medicaid, GA, Adult PA, General Relief, General Relief Medical]	Developed in-house with Systemhouse, Inc. assistance	1984	1993 - 95: Upgrades to operating system and telecommunications network in development.	ED/BC: In 1992, began planning redesign of ED/BC to meet future demands and address work request backlogs. Feasibility determined by EMS, Inc. IAPD preparation halted pending State funding approval.
AL	State & County Integrated System for Certification and Issuance (SCI-II) [FSP only]	1981: Contractor transferred New Mexico's FSMIS. State modified.	1983	12/91: Began Integrated Client Data Base (ICDB) Project to integrate multiple program databases. Anticipate completion in Spring 94.	ED/BC: Considering expansion of ICDB scope to integrate and support FSP, AFDC, Medicaid, and CSE Programs. EBT: Planning APD received contingent FNS approval
AR	Food Stamp Automated Client Tracking System (FACTS) [FSP only]	Developed in-house, with contractor assistance.	1982	WISE system for AFDC JOBS and FSP E&T to be implemented statewide in Winter 1994.	EBT: Investigating
AZ	Arizona Technical Eligibility Computer System (AZTECS) [AFDC & FSP]	In 1985, Systemhouse, Inc. transferred EIS from Alaska	1988	On-going performance enhancements. Plan to add Medical and State-specific programs in 1993-94. Planning for future hardware changes; consider DB2 DBMS.	EBT: Revising PAPD & RFP for FS in Bernalillo County. PAPD submitted for San Diego County.
CA					
CO	Colorado Automated Food Stamp System (CAFSS) [FSP only]	Transferred NMAS from NM for FSP only in 1982.	1983	1993: Began developing enhancements for FSP notices. In development: Benefit Eligibility Tracking System of Colorado [BETS-C] to provide single point of entry, screen edits, help screens, and on-line policy manual for FSP, Medicaid, and AFDC. Planning mainframe and DASD upgrades.	ED/BC: Planning replacement ED/BC system: Colorado Benefit Management System (CBMS) to integrate programs for the work and replace CAFSS through a front end ED/BC that passes data to CAFSS and AFDC databases. Alternatives and CBA prepared in 1993. EBT: Investigating

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
CT	Eligibility Management System (EMS) [FSP, AFDC, Medicaid, GA]	Consultec, Inc. transferred from New Mexico in 1985.	1990	Technical enhancements ongoing. Planning system enhancements to accommodate the addition of the Transitional Day Care and Connecticut PACE Programs.	EBT: FNS approved PAPD
DC	Automated Client Eligibility Determination System (ACEDS) [FSP, AFDC, Medicaid, GA]	Decided to transfer an existing system in 1984. Systemhouse, Inc. transferred CHIP from South Carolina in 1990.	1993	A change control process and an integrated tracking system for enhancements and problem reports are under development. Plan to upgrade to EBM ES9000/540 in 1994.	
DE	Deleware Client Information System (DCIS) [FSP, AFDC, Medicaid, and State Programs]	Planning began in 1981. Awarded development contract to EDS in 1983.	1985	Planning upgrade to MVS/ESA; implementation of DB/2 for new database development; and enhancements for on-line report viewing.	ED/BC: Initiated Feasibility Study for development of new system. EBT: Investigating off-line EBT with optical memory card viewing.
FL	Florida On-line Recipient Integrated Data Access (FLORIDA) [FSP, AFDC, Refugee Assistance, Medicaid]	Transferred Ohio's CRIS-E with assistance from EDS (prime) and Deloitte Touche (subcontractor) starting in 1987.	1992	Ongoing technical performance tuning. Enhancements are planned to meet program requirements, to address system capacity, DASD, and data retrieval capability. Changes in architecture and hardware are anticipated. CSE interface under development.	EBT: ACF approved PAPD. FNS approval is pending.
GA	Public Assistance Reporting Information System (PARIS) [FSP, AFDC, Medicaid]	Consultec started PARIS in 1975.	1984	All further enhancements on hold pending new system effort.	ED/BC: Planning new system to replace PARIS/PARISOL and to include child support, HEAT, and Refugee Assistance programs. EBT: PAPD approved by FNS/ACF.

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
HI	Hawaii Automated Welfare Information System (HAWI) [AFDC, Medicaid, GA]	Systemhouse, Inc. transferred AZTECS from Arizona in 1983.	1988	Ongoing system enhancements to improve technical performance and functionality and to meet changing program requirements. CPU and DASD upgrades planned to accommodate JOBS and DRS changes. Investigating high level client index for all DHS clients and to generate more administrative and management reports.	
IA	ABC System [FSP, AFDC, Medicaid, Refugee Assistance]	EDS developed in 1983-1984.	1984	Planning X-PERT rules-based front end enhancement to improve consistency of policies across State (1990-95)	EBT: Planning to add Food Stamps to existing AFDC EBT issuance system.
ID	Eligibility Programs Integrated Computer Systems (EPICS) [FSP, AFDC, Medicaid]	State began development in 1982. Obtained assistance from Systemhouse, Inc. beginning in 1984.	1986	In process of migrating software from minis to mainframe. Moving some software from regional offices to central mainframe to improve system performance. Second stage to include LANs and WANs by end of 1995. Upgrades to CPU and DASD expected. Plan to move to MVS/ESA operating system.	
IL	Client Information System (CIS) [FSP, AFDC, Medicaid, GA, Refugee Assistance, Interim Assistance - AABD, and eligibility determination for the Title IV-E Foster Care population]	Developed by State starting in 1982.	1987	Enhancements to support Child Support Enforcement, implementation of EBT pilot, and addition of an on-line policy manual feature planned. Upgrades to ES9000-820 planned in 1994.	EBT: Contingent EBT PAPI approval from FNS & ACF.
IN	Indiana Client Eligibility System (ICES) [FSP, AFDC, Medicaid]	Transferred CRIS-E from Ohio by Deloitte Touche, starting in 1990.	12/93 planned	Plan to redesign the ED/BC Module to reduce lines of code and requirements for processor resources (1995).	

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
KS	Kansas Automated Eligibility and Child Support Enforcement System (KAECSSES) [FSP, AFDC, Medicaid, Child Support Enforcement, Social Services, and GA]	Transferred AZTECS from Arizona by Systemhouse, Inc. in 1984.	1989	Enhanced reporting capabilities by adding an on-line reporting system (SARS) for field staff. Plan to enhance ad hoc reporting capabilities. Considering use of on-line policy manuals. Enhancements needed to address many outstanding change requests and problem reports.	
KY	Kentucky Automated Eligibility and Management System (KAMES-IM) [FSP, AFDC, Medical Assistance, State Programs]	Developed in-house beginning in 1991, expanding previous in-house FSP-only system (KAMES-FS).	1994	Plan installation of automated tape library system and utilization of DB2 for new database applications. No other enhancements planned until after complete implementation.	
LA	Food Stamp Management Information System (FSMIS) [FSP only]		1979	Minor enhancements to FSMIS since new system (L'AMI) under development	ED/BC: Louisiana Automated Management Information System (L'AMI) implementation pending change in system architecture to handle capacity.
MA	Program Automated Calculation and Eligibility System (PACES) [FSP, AFDC, GA, and Medicaid]			State enhancing CARS and CRU systems to include FSP and correct problems with overpayments recovery implementation in July 1994.	ED/BC: Benefit Eligibility and Control Online Network (BEACON) planning began in 1992. Plan to replace existing systems PACES, FMCS, and all other systems except PRISM, which is serving as a desktop platform model. (1997) EBT: Investigating

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
MD	AIMS operating in parallel with CARES until CARES implemented statewide. Clients' Automated Resource and Eligibility System and Client Data Base (CARES/CDB) being implemented. [FSP, AFDC, Medicaid]	Systemhouse, Inc. transferred EMS from Connecticut starting in 10/88. Planning began in 3/86.	4/95	Implementing CARES/CDB has priority. Few, if any, enhancements on older systems that will be replaced.	ED/BC: CARES/CBD has been implemented in some counties. Full implementation in April 1995. EBT: Statewide operational system.
ME	MICS [FSP, AFDC integrated. Child Welfare, Medicaid interface]	Developed in house by state staff.	1983	Further enhancements to MICS suspended.	ED/BC: New FAMIS system planning began in 1991 to replace existing MICS and integrate all major public assistance programs. Plans to be operational by 1995. EBT: PAPD with CN and NH approved.
MI	Client Information System (CIS) [FSP, AFDC, Medicaid, State programs]	Unisys, selected as prime in 1992, transferred EMS from CN to replace multiple existing systems.	1977	Enhancements suspended as system to be replaced.	ED/BC: Automated Social Services Information and Support System (ASSIST) [FSP, AFDC, Medical Assistance, State Assistance, Refugee Assistance, Child Care, State Emergency Rehabilitation, MOST/JOBS, Energy Program, Repatriation Assistance. Currently in development and scheduled for statewide operations in 9/96. EBT: PAPD approved.
MN	MAXIS [FSP, AFDC, Medicaid, GA, Refugee Cash Assistance, and others]	Transferred by Software AG from South Dakota in 1986	1991	Enhancements ongoing in functional, technical areas; interfaces to state programs, foster care and child support systems. Considering shift to a distributed approach.	EBT: Operating pilot in one county. Plans to expand ES into second county.
MO	Food Stamp System (FSUS) [FSP only]		Early 80s	Steady state with ongoing system maintenance.	ED/BC: Planning Family Assistance Management Information System (FAMIS) to replace and integrate existing systems for FSP, AFDC, Medicaid. Expected implementation 1996 EBT: PAPD approved by FNS/ICFA. Planning RFP approved

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
MS	Mississippi Automated Verification Eligibility Reporting Information Control System (MAVERICS) [FSP and AFDC]	Transferred TECS from North Dakota by Anderson Consulting beginning in March 1986.	1988	Ongoing enhancements planned: integration of claims tracking; interface with METSS (for JOBS and child support); on-line policy manual; Medicaid eligibility for non-AFDC cases; improve processing times; expand CPU and DASD.	EBT: PAPD approved.
MT*	The Economic Assistant Management System (TEAMS) [FSP, AFDC, Medicaid]	Transferred HAWI from Hawaii by Systemhouse, Inc. starting in 1987.	1993	Steady state; but enhancements planned over 1994-1997. Ongoing performance monitoring and enhancements for efficiency; Network Data Mover, automated interface to CSES; plans to downsize to PCs.	
NC	Food Stamp Information System (FSIS) [Food Stamps only]	Transferred from New Mexico by state staff in 1982	1984	Major enhancements are not planned because a new system is being planned.	ED/BC: State is initiating a feasibility study to plan for a new integrated system to integrate multiple systems and programs and prepare for welfare reform. (1997-99) EBT: Investigating
ND*	Technical Eligibility Computer System (TECS) [FSP, AFDC, Medicaid]	Transferred EIS from Alaska by Systemhouse, Inc. in 1983.	1984	Minor enhancements on-going. Steady state for Food Stamp Program. Enhancements are underway for AFDC and Medicaid and online case narratives and policy manuals are planned for the future.	ED/BC: No new system planned. EBT: In planning stage for a combined EBT project with South Dakota. PAPD approved by FNS and ACF. IAPD submitted.
NE	Food Stamp System [Food Stamp, AFDC, Medicaid, GA]	Developed in house in 1984.	1986	Steady state. No enhancements are planned for existing systems, except for those necessary to meet Program needs.	ED/BC: FAMIS-type system in planning stage. To integrate 17 separate systems and multiple databases to reduce data redundancies and improve worker efficiency and program effectiveness.
NH	EMS [FSP, AFDC, Medicaid, Child Care, ETS, and JOBS]	State developed beginning in 1975	1978	No further enhancements are planned pending new FAMIS development.	ED/BC: New FAMIS system in planning stage (beginning in 1991) Expected completion in 1997. EBT: EBT project under study with Maine and Vermont

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
NJ	Family Assistance Management Information System (FAMIS) [FSP, AFDC, Medicaid]	State developed in 1983.	1987	Additional terminals to be added.	ED/BC: An RFP for a feasibility study for a new system and work on an APD for new system (ISIS) was released in May 1994. EBT: EBT system for FSP, AFDC, and Child Support Programs operational in Camden County.
NM*	Integrated Service Delivery System for the Income Support Division (ISD2) [AFDC, FSP, GA, Medicaid]	Transferred PARIS by Consultec from Georgia in 1983.	1987	Steady state. Enhancements planned and in development: mainframe upgrade; shift from VSAM to DB2; new notice system; expansion of EBT system.	EBT: Operational in Albuquerque. Expansion APD FNS approved; pending ACF approval.
NV	Food Stamp System		1978	Enhancements have been made to change system from paper-drive batch mode to a moderate degree of online functionality.	ED/BC: Nevada Operations of Multi-Automated Data Systems (NOMADS) planning began in 1990 with transfer of InRhodes by ISSC to replace and integrate existing systems for FSP, AFDC, Medicaid, CSE, Child Care, JOBS, and Training System. Estimated completion in 1995.
NY	Welfare Management System (WMS) [FSP, AFDC, Medicaid, GA]	Developed by EDS beginning in 1975	1982 (upstate) 1986 (NYC)	Enhancements planned: online access to DB, interactive interviewing (EEDSS) - awaiting approval; improvements to cross-machine matching. Enhancements in Development: Client Notice System (94-96), single issuance system for state (EBICS); approved, in process.	EBT: online authorization with coupon/cash issuance.
OH*	Client Registration Information System - Enhanced (CRIS-E) [FSP, AFDC, Medicaid, GA, etc.]	Developed in house with Deloitte-Touche assistance.	1992	Enhancements being planned, developed and implemented	EBT: Operational off line EBT (FS) project. Issued RFP to expand statewide.
OK	Integrated Client Information System/Case Information (ICIS/CI) [FSP, AFDC, Medicaid, GA]	CIS developed in house (1969); ICIS development began in 1980.	CI: 1970 ICIS: 1985-86	Fully integrated system is developed but is being implemented phase by phase by program.	EBT system for online FSP is being planned. Oklahoma City to be pilot site. APD approved in 1992. Final draft of RFP submitted to FNS.

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
OR	Food Stamp Management Information System (FSMIS) [FSP only]	Start date: unknown	1976	Enhancements will continue until a new system is implemented. Enhancements to permit data exchange among multiple systems. Development of a common database for use by all assistance programs has begun.	ED/BC: Received approval for an Integrated Eligibility Rules-Based Touch Screen Front End System (IES) using LANs. Development RFP released 10/93. IES will be supported by a common DB2 database for all programs, currently under development. IES to replace front end of existing systems, reduce errors, operational costs, duplicate data entry, etc. Pilot to be implemented first. Statewide implementation in several years. EBT: PAPD approved.
PA	Client Information System (CIS) [FSP, AFDC, Medicaid, GA]	Design transfer of ED/BC from Ohio with some initial contractor assistance, beginning in 1979.	1993	Enhancements to the mainframe environments and upgrade of hardware and software in the field planned, moving toward LAN/WAN approach to reduce response time and to fully realize system capabilities. Plans to investigate utilization of knowledge-based expert system ED/BC on front end microcomputer.	EBT: Operating EBT pilot in Berks County; PAPD to FNS for expansion. Intend to add AFDC.
RI	INRHODES [FSP, AFDC, Medicaid, IV-F, Job Training, Child Care, GA]	Decided to implement in 1985. Transferred Vermont's ACCESS system from South Dakota; assisted by NSI.	1990	Planning to use GUI and PCs, conversion to MVS and generic caseworker.	
SC*	Client History Information Profile (CHIP) [FSP, AFDC]	Transferred AZTECS from Arizona by Systemhouse, Inc.	1989	Steady state. Enhancements to upgrade CPUs and to add DASD under development.	EBT: Vendor selected. Operations to begin in 11/94
SD	ACCESS and SS52 [FSP, AFDC, Medicaid, local JOBS areas]	Transferred Vermont ACCESS system in 1984 using in-house staff with VT staff assistance.	1986	Steady state. No major enhancements planned for the ACCESS system. Upgrades to teleprocessing network, mainframe, storage planned.	EBT: PAPD approved by FNS & HCFA. Planning RFP submitted.

Table A-15
Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
TN	Automated Client Certification and Eligibility Network for Tennessee (ACCENT) [FSP, AFDC, Medicaid]	Started planning in 1983. Transferred CRIS-E from Ohio by Systemhouse, Inc.	1992	Enhancements being implemented.	EBT: Investigating
TX	Welfare Network (WelNet) and System for Application, Verification, Eligibility, Referral, and Reporting (SAVERR) [FSP, AFDC, Medicaid]	SAVERR development began in 1973; GWS/WelNet development began in 1989. State development.	SAVERR 1979 WelNet (Ph III) - 1990	WelNet comprised of multiple systems: SAVERR, an eligibility database and matching system; Generic Worksheet (GWS) for interactive interviewing and workload allocation; LAN/WAN. Accounts Receivable Tracking System (ARTS) Regional Recovery Unit System (RRUS) for claims establishment and tracking to be replaced. Re-engineering business processes now. Plans to upgrade mainframe (11/93). Piloting Potential Eligibility Prescreener (PEP) for a variety of programs, independent of GWS. PEP to shift some initial application tasks to dedicated clerical staff.	ED/BC: No plans to replace existing system. EBT: Pilot planned for Houston in June-July 1994. Vendor has been selected.
UT	Public Assistance Case Management Information System (PACMIS) [FSP, AFDC, Medicaid, GA]	New system effort began in 1981. Transferred AZTECS from Arizona by Systemhouse, Inc. in 1985.	1989	Planning to use PCs and LANs in local offices for GUIs and expert system.	EBT: PAPD approved. Developing planning documentation.
VA	Virginia Client Information System (VACIS) [FSP, AFDC]	VACIS development initiated in 1974 for AFDC only. Expanded to FSP in 1984-85. State developed.	VACIS completed in 1992	VACIS software enhancements frozen pending implementation of ADAPT, anticipated in 1994. Installing PCs in local offices for VACIS, and that will be used by ADAPT.	ED/BC: ADAPT transferred from NAPAS, CA, by Deloitte Touche and Unisys. Viewed as a front end for existing VACIS. Under development. To replace VACIS, a turnaround document oriented system, replace separate Claims Payment System, support Medicaid, to calculate benefits, determine eligibility, generate notices, etc. Statewide implementation scheduled for 1/94. IAPD approval expected in 11/93. EBT: Investigating. Feasibility study done. Awaiting state support decision.

Table A-15

Development Status of Primary System Supporting the Food Stamp Program

State	Existing ED/BC System Supporting FSP				Future Systems
	System Name and Programs Supported	System Origin and Year Started	Year Completed	System Enhancements	
VT	ACCESS [FSP, AFDC, Medicaid, GA, Child Support]	Developed in house with Mathematica Policy Research starting in 1978	Phase I completed in 1983; Operational in mid-84	Current steady state with on-going enhancements. Exploring use of distributed architectures and SW/HW upgrades.	ED/BC: Study may lead to a redesign of the eligibility component of ACCESS. EBT: PAPD approved for EBT effort with Maine and New Hampshire. Reviewing feasibility study. Request for additional funds submitted.
WA	Interactive Terminal Input System (ITIS) [FSP only]	Started in 1977	1977	ITIS and other supporting systems (CRS, DRS, FSS, SAMS, IEVS, FSAS) to be replaced by new system (ACES)	ED/BC: EMS is being transferred from Connecticut. New system (ACES) to replace the many systems (mainframe and PC based) with one integrated system.
WI*	CRN -IMP [FSP, AFDC, Medicaid]		1980	Steady state. Enhancements to add FOODBACK for claims AND WIDS-WPRS for JOBS extended system life. No further enhancements planned, except for Hitachi upgrade, storage software, disaster recovery.	ED/BC: Planning to replace CRN-IMP began in 1988. Deloitte Touche transferring CRIS-E from Florida, changing from IMS to DB2. New name: Client Assistance for Reemployment and Economic Support (CARES). To replace batch-oriented CRN-IMP, WIDS-WPRS, and FOODBACK systems and to improve productivity of system and workers. EBT: Investigating
WV	C-219 [FSP, AFDC]	Started in 1969	1970	Steady state. On-going system maintenance.	ED/BC: New system development effort. Contract awarded to Deloitte Touche for transfer of FLORIDA under protest. New system name: RAPIDS To integrate systems; improve worker productivity, reduce errors, meet processing timeframes for client services, etc.
WY	Eligibility Payment Information Computer System (EPICS) [FSP, AFDC]	Started in 1985. Systemhouse, Inc. transferred Alaska's EIS.	1987	Steady state. Enhancements to improve system productivity, added Jobs Assistance System (JAS) and Foster Care (FSX)	EBT: APD and RFP prepared for EBT system to combine FFS and WIC issuance. Vendor selected for Offline Project.

* Food Stamp Program is county-operated in these States.

APPENDIX B

STATE SYSTEM DEVELOPMENT PROCESS TABLES

Table B-1
Project Staffing Chart

State (Project Staffing Score)	Project Manager (PM) MIS or PA Background	Percentage of PM Time on PA Project	Number of Staff Changes to PA Project Team				
			Project Manager	Key FSP Staff	Key MIS Staff	Contract Staff	Other Staff
Alabama (4)	Y	75-100	0	0	0	N/A	N/A
Alaska (2.5)	Y	< 25	0	0	0	0	N/A
Arizona (2)	N	< 25	0	0	0	0	N/A
Arkansas (2.5)	Y	< 25	0	0	0	N/A	N/A
California (3.5)	N	75-100	0	N/A	N/A	N/A	N/A
Colorado (2)	Y	< 25	1	0	0	N/A	0
Connecticut (4)	Y	75-100	0	0	0	1	0
Delaware (N/A)	N	25-50	N/A	N/A	N/A	N/A	N/A
District of Columbia (3.5)	Y	75-100	1	1	0	0	0
Florida (4)	Y	75-100	0	0	0	0	0
Georgia (3.5)	Y	75-100	1	0	0	0	N/A
Hawaii (2)	N	< 25	0	1	N/A	2+	N/A
Idaho (3.5)	Y	75-100	1	0	1	1	0
Illinois (2)	Y	< 25	1	0	0	N/A	N/A
Indiana (3.5)	Y	50-75	0	2+	0	0	N/A
Iowa (2)	N	< 25	0	0	0	0	N/A
Kansas (3)	N	75-100	1	0	2+	0	2+
Kentucky (4)	Y	75-100	0	0	1	2+	0
Louisiana (3.5)	Y	75-100	1	0	0	0	0
Maine (3)	Y	50-75	1	0	0	1	0
Maryland (3.5)	Y	75-100	1	0	2+	2+	2+
Massachusetts (4)	Y	75-100	0	0	0	N/A	0
Michigan (N/A)	Y	< 25	N/A	N/A	N/A	N/A	N/A
Minnesota (4)	Y	75-100	0	0	1	2+	2+
Mississippi (2)	Y	< 25	1	0	0	0	N/A
Missouri (2)	N	< 25	0	N/A	N/A	N/A	N/A
Montana (4)	Y	75-100	0	0	1	0	0
Nebraska (4)	Y	75-100	0	0	0	0	N/A
Nevada (N/A)	Y	< 25	N/A	N/A	N/A	N/A	N/A
New Hampshire (3.5)	Y	50-75	0	1	2+	N/A	0

Table B-1
Project Staffing Chart

[illegible]

Table B-2
Programmatic User Participation

State (User Participation Score)	User Group	Project Phase Participation			User Role		
		Planning	Design	Implement	Recommend	Review/ Approve	Estimate Requirements
Alabama (2.5)	Y	Y			Y	Y	
Alaska (4)	Y	Y				Y	Y
Arizona (4.5)	Y		Y	Y	Y	Y	
Arkansas (6)	Y	Y	Y	Y	Y	Y	Y
California (3)	Y	Y	Y	Y			Y
Colorado (8)	Y	Y	Y	Y	Y	Y	Y
Connecticut (8)	Y	Y	Y	Y	Y		Y
Delaware (6.5)	Y	Y	Y	Y	Y	Y	Y
District of Columbia (4.5)	Y	Y	Y	Y	Y		
Florida (11)	Y	Y	Y	Y	Y	Y	Y
Georgia (3)	Y		Y	Y	Y		
Hawaii (7.5)	Y	Y	Y	Y	Y	Y	Y
Idaho (4.5)	Y	Y			Y	Y	Y
Illinois (5)	Y	Y	Y	Y		Y	
Indiana (8)	Y	Y	Y	Y		Y	Y
Iowa (10)	Y	Y	Y	Y	Y	Y	Y
Kansas (7.5)	Y	Y	Y		Y	Y	Y
Kentucky (7)	Y	Y	Y	Y	Y	Y	
Louisiana (0)	N						
Maine (5)	Y	Y			Y	Y	Y
Maryland (10.5)	Y	Y	Y	Y	Y	Y	Y
Massachusetts (11)	Y	Y	Y	Y	Y	Y	Y
Michigan (5)	Y	Y	Y	Y		Y	
Minnesota (10.5)	Y	Y	Y	Y	Y	Y	Y
Mississippi (9)	Y	Y	Y	Y	Y	Y	Y
Missouri (5)	Y	Y			Y	Y	Y
Montana (0)	N						
Nebraska (10.5)	Y	Y	Y	Y	Y	Y	Y
Nevada (10)	Y	Y	Y	Y	Y	Y	Y
New Hampshire (N/A)	Y	N/A	N/A	N/A	N/A	N/A	N/A

Table B-2
Programmatic User Participation

State (User Participation Score)	User Group	Project Phase Participation			User Role		
		Planning	Design	Implement	Recommend	Review/ Approve	Estimate Requirements
New Jersey (0)	N						
New Mexico (10)	Y	Y	Y	Y	Y	Y	Y
New York (9.5)	Y	Y	Y	Y	Y	Y	Y
North Carolina (5.5)	Y	Y	Y	Y		Y	Y
North Dakota (6)	Y	Y	Y	Y	Y		Y
Ohio (4)	Y		Y	Y	Y	Y	
Oklahoma (10)	Y	Y	Y	Y	Y	Y	Y
Oregon (11)	Y	Y	Y	Y	Y	Y	Y
Pennsylvania (N/A)	N/A						
Rhode Island (11)	Y	Y	Y	Y	Y	Y	Y
South Carolina (10)	Y	Y	Y	Y	Y	Y	Y
South Dakota (4.5)	Y	Y	Y	Y	Y	Y	
Tennessee (6)	Y	Y	Y	Y	Y	Y	Y
Texas (10)	Y	Y	Y	Y	Y	Y	Y
Utah (4)	Y	Y	Y	Y	Y		
Vermont (0)	N						
Virginia (2)	Y		Y		Y	Y	
Washington (8.5)	Y	Y			Y	Y	Y
West Virginia (9.5)	Y	Y	Y	Y	Y	Y	Y
Wisconsin (5)	Y	Y	Y		Y	Y	Y
Wyoming (9)	Y	Y	Y	Y	Y	Y	Y

Table B-3
MIS Participation

State (MIS Participation Score)	MIS PA Development Participation	MIS Roles		
		Recommend	Establish Requirements	Review/ Approve
Alabama (2)	Y	Y		Y
Alaska (2.5)	Y		Y	Y
Arizona (1.5)	Y			Y
Arkansas (3)	Y	Y	Y	Y
California (2.5)	Y		Y	Y
Colorado (6)	Y	Y	Y	Y
Connecticut (4.5)	Y	Y	Y	Y
Delaware (3)	Y	Y	Y	
District of Columbia (1)	Y	Y		
Florida (0)	N			
Georgia (6)	Y	Y	Y	Y
Hawaii (0)	Y	N/A	N/A	N/A
Idaho (3)	Y	Y	Y	Y
Illinois (6)	Y	Y	Y	Y
Indiana (.5)	Y	Y		
Iowa (6)	Y	Y	Y	Y
Kansas (4)	Y	Y	Y	Y
Kentucky (6)	Y	Y	Y	Y
Louisiana (6)	Y	Y	Y	Y
Maine (3)	Y	Y	Y	Y
Maryland (.5)	Y	Y		
Massachusetts (.5)	Y	Y		
Michigan (3)	Y	Y	Y	
Minnesota (6)	Y	Y	Y	Y
Mississippi (5)	Y	Y	Y	Y
Missouri (3)	Y	Y	Y	Y
Montana (3)	Y	Y	Y	Y
Nebraska (3.5)	Y	Y	Y	Y
Nevada (6)	Y	Y		
New Hampshire (.5)	Y	Y		

Table B-3
MIS Participation

State (MIS Participation Score)	MIS PA Development Participation	MIS Roles		
		Recommend	Establish Requirements	Review/ Approve
New Jersey (2)	Y		Y	
New Mexico (.5)	Y	Y		
New York (0)	Y	N/A	N/A	N/A
North Carolina (5)	Y		Y	Y
North Dakota (6)	Y	Y	Y	Y
Ohio (0)	N			
Oklahoma (6)	Y	Y	Y	Y
Oregon (6)	Y	Y	Y	Y
Pennsylvania (0)	Y	N/A	N/A	N/A
Rhode Island (3)	Y	Y	Y	Y
South Carolina (3)	Y	Y		Y
South Dakota (6)	Y	Y	Y	Y
Tennessee (6)	Y	Y	Y	Y
Texas (6)	Y	Y	Y	Y
Utah (.5)	Y	Y		
Vermont (3)	Y	Y	Y	
Virginia (6)	Y	Y	Y	Y
Washington (1)	Y		Y	
West Virginia (2)	Y		Y	
Wisconsin (3)	Y	Y	Y	Y
Wyoming (6)	Y	Y	Y	Y

Table B-4
Contractor Roles - Project Planning

State (Project Planning Independence Score)	Whether Contractor Involved in Project Planning	Contractor Involvement in Project Planning				
		Planning	Cost/Benefit	APD Prep	Alternatives Analysis	RFP Prep
Alabama (15)	N					
Alaska (10)	Y	2	2	3	2	1
Arizona (15)	N					
Arkansas(15)	N					
California (15)	Y	3	3	3	3	3
Colorado (5)	Y	1	1	1	1	1
Connecticut (14)	Y	3	3	3	2	3
Delaware (15)	N					
District of Columbia (13)	Y	2	3	3	2	3
Florida (7)	Y	1	1	2	1	2
Georgia (15)	N					
Hawaii (14)	Y	3	3	3	2	3
Idaho (15)	N					
Illinois (N/A)	Y	N/A	N/A	N/A	N/A	N/A
Indiana (7)	Y	1	1	1	2	2
Iowa (15)	Y	3	3	3	3	3
Kansas (12)	Y	1	3	3	3	2
Kentucky (15)	N					
Louisiana (5)	Y	1	1	1	1	1
Maine (8)	Y	1	2	2	2	1
Maryland (11)	Y	2	2	2	3	2
Massachusetts (N/A)	Y	3	N/A	N/A	N/A	N/A
Michigan (14)	Y	3	3	3	3	2
Minnesota (14)	Y	2	3	3	3	3
Mississippi (15)	N					
Missouri (7)	Y	2	1	1	1	2
Montana (N/A)	Y	N/A	N/A	N/A	N/A	N/A
Nebraska (15)	N					
Nevada (8)	Y	2	2	1	1	2

Table B-4
Contractor Roles - Project Planning

State (Project Planning Independence Score)	Whether Contractor Involved in Project Planning	Contractor Involvement in Project Planning				
		Planning	Cost/Benefit	APD Prep	Alternatives Analysis	RFP Prep
New Hampshire (11)	Y	3	2	2	2	2
New Jersey (15)	Y	3	3	3	3	3
New Mexico (15)	N					
New York (15)	N					
North Carolina (15)	N					
North Dakota (15)	N					
Ohio (N/A)	N/A	N/A	N/A	N/A	N/A	N/A
Oklahoma (15)	N					
Oregon (12)	Y	3	1	2	3	3
Pennsylvania (N/A)	Y	N/A	N/A	N/A	N/A	N/A
Rhode Island (10)	Y	2	2	2	2	2
South Carolina (N/A)	N/A	N/A	N/A	N/A	N/A	N/A
South Dakota (14)	N					
Tennessee (13)	Y	2	3	2	3	3
Texas (15)	N					
Utah (15)	N					
Vermont (12)	Y	1	3	2	3	3
Virginia (15)	N					
Washington (7)	Y	1	2	2	1	1
West Virginia (6)	Y	2	1	1	1	1
Wisconsin (12)	Y	3	1	2	3	3
Wyoming (11)	Y	1	2	3	2	3

Key: 1 = Much contractor involvement, i.e., little independence
2 = Some contractor involvement, i.e., some independence
3 = Little contractor involvement, i.e., great independence

Table B-5
Contractor Roles - Project Development/Implementation

State (Project Development/ Implementation Score)	Whether Contractor Involved in Development/ Implementation	Contractor Involvement in Project Development/Implementation Steps					
		Design	Coding	Monitoring/ Quality Assurance	Testing	Conversion	Training/ Documen-tation
AK (N/A)	N/A						
AL (13.5)	N						
AR (13.5)	Y					3	
AZ (15)	Y	3	2		1	1	3
CA (15)	Y	3	3		1	1	3
CO (16.5)	Y	3	3		3	3	2
CT (15)	Y	3	3		3	3	3
DC (18)	Y	2	3		2		3
DE (16.5)	Y	3	3		1	3	2
FL (15)	Y	3	3	3	3	3	2
GA (13.5)	N						
HI (16.5)	Y	3	3	2	1	1	2
IA (13.5)	Y	3	3		3		
ID (15)	N	3	3				
IL (N/A)	Y	N/A	N/A	N/A	N/A	N/A	N/A
IN (18)	Y	2	3	3	1	2	3
KS (15)	Y	3	3		2	1	3
KY (13.5)	Y	3	3	1	1	1	3
LA (16.5)	Y	3	3	3	2		3
MA (15)	Y	3	3		2		
MD (18)	Y	2	3	2	3	3	3
ME (N/A)	N/A						
MI (N/A)	N/A						
MN (18)	Y	2	2	1	1	1	1
MO (13.5)	N						
MS (13.5)	Y		3	3	3		1
MT (13.5)	Y		3	3	3	3	3
NC (13.5)	N						
ND (18)	Y		3		2		3
NE (13.5)	N						

Table B-5
Contractor Roles - Project Development/Implementation

State (Project Development/ Implementation Score)	Whether Contractor Involved in Development/ Implementation	Contractor Involvement in Project Development/Implementation Steps					
		Design	Coding	Monitoring/ Quality Assurance	Testing	Conversion	Training/ Documen-tation
NH (N/A)	N/A						
NJ (19.5)	Y	2	2	2	3	3	2
NM (15)	Y	3	3	2	3	1	
NV (16.5)	Y	3	3	1	2	1	2
NY (18)	Y					2	2
OH (N/A)	N/A						
OK (13.5)	N						
OR (18)	Y	3	3	3	2	3	2
PA (N/A)	Y	N/A	N/A	N/A	N/A	N/A	N/A
RI (16.5)	Y	3	3	3	3	1	2
SC (N/A)	N/A						
SD (13.5)	N						
TN (19.5)	Y	2	3	2	2		3
TX (13.5)	N						
UT (13.5)	Y	3	3	3	3	1	3
VA (12)	Y	1	1	1	1	1	1
VT (16.5)	Y	3	3		2	3	3
WA (21)	Y	2	3		2	2	3
WI (13.5)	Y	3	3	3			
WV (16.5)	Y	3	3	3	3	2	3
WY (15)	Y	3	3	3	2	1	3

Key: 1 = Little involvement
2 = Some involvement
3 = Much involvement

Table B-6
System Development Life Cycle Steps

System Development Life Cycle Steps	Number of States Using Each Step
Feasibility Study	30
Functional Requirements Definition	39
Alternatives Analysis	31
Capacity Planning/Modeling	32
Cost/Benefit Analysis	33
Requirements Review	32
General System Design	37
Preliminary Design Review	25
Detailed System Design	37
Critical Design Review	15
User Interface Modeling/Prototyping	18
Unit Testing	42
System Testing	40
System Test Results Review	40
Pilot Testing	39
Operations Testing	29
User Acceptance Testing	39
Post Implementation Review	26
Independent Quality Control/Analysis Review	10

Table B-7
Use of System Development Life Cycle Methodology

State (Number of SDLC Steps Used)	Consistency of SDLC Usage H=High, M=Medium L=Low	Whether SDLC Used Throughout Project	SDLC Score
Alabama (0)	-	-	0
Alaska (0)	-	-	0
Arizona (14)	M	Y	3
Arkansas (0)	-	-	0
California (N/A)	N/A	N/A	N/A
Colorado (9)	L	N	1
Connecticut (18)	H	N	3
Delaware (19)	H	Y	4
District of Columbia (15)	H	Y	4
Florida (N/A)	N/A	N/A	N/A
Georgia (0)	-	-	0
Hawaii (19)	H	Y	4
Idaho (15)	H	N	3
Illinois (0)	-	-	0
Indiana (18)	H	N	3
Iowa (10)	M	N	2
Kansas (5)	L	Y	2
Kentucky (13)	M	Y	3
Louisiana (0)	-	-	0
Maine (7)	L	N	1
Maryland (0)	-	-	0
Massachusetts (5)	L	N	1
Michigan (17)	H	Y	4
Minnesota (17)	H	Y	4
Mississippi (15)	H	Y	4
Missouri (N/A)	-	-	-
Montana (16)	H	Y	4
Nebraska (12)	M	Y	3
Nevada (7)	L	N	1
New Hampshire (0)	-	-	0

Table B-7
Use of System Development Life Cycle Methodology

State (Number of SDLC Steps Used)	Consistency of SDLC Usage H=High, M=Medium L=Low	Whether SDLC Used Throughout Project	SDLC Score
Alabama (0)	-	-	0
New Jersey (15)	H	Y	4
New Mexico (19)	H	Y	4
New York (17)	H	Y	4
North Carolina (10)	M	N	2
North Dakota (15)	H	Y	4
Ohio (N/A)	N/A	N/A	N/A
Oklahoma (0)	-	-	0
Oregon (9)	L	N	1
Pennsylvania (13)	M	Y	3
Rhode Island (15)	H	Y	4
South Carolina (N/A)	N/A	N/A	N/A
South Dakota (0)	-	-	-
Tennessee (19)	H	N	3
Texas (16)	H	N	3
Utah (10)	M	N	2
Vermont (14)	M	N	2
Virginia (10)	M	Y	3
Washington (15)	H	N	3
West Virginia (0)	-	-	0
Wisconsin (13)	M	Y	3
Wyoming (0)	-	-	0

Key: N/A = not available

Table B-8
CPU Inventory Table

State	Manufacturer	Generation	Utilization %
Alabama	IBM	Previous	60-80%
Alaska	Amdahl	Previous	40-60%
Arizona	Hitachi	Current	> 80%
Arkansas	IBM	Previous	Unk.
California	County-based	Systems	Only
Colorado	Hitachi	Current	< 20%
Connecticut	IBM	Previous	40-60%
Delaware	IBM	Current	40-60%
Florida	IBM	Current	Unk.
Georgia	IBM	Previous	60-80%
Hawaii	IBM	Previous	Unk.
Idaho	IBM	Previous	40-60%
Illinois	IBM	Current	> 80%
Indiana	IBM	Previous	> 80%
Iowa	IBM	Previous	60-80%
Kansas	IBM	Previous	> 80%
Kentucky	IBM	Current	40-60%
Louisiana	IBM	Current	40-60%
Maine	Honeywell	Current	60-80%
Maryland	IBM	Current	Unk.
Massachusetts	Hitachi	Previous	> 80%
Michigan	Honeywell	Previous	> 80%
Minnesota	IBM	Current	60-80%
Mississippi	IBM	Previous	40-60%
Missouri	IBM	Current	60-80%
Montana	IBM	Previous	Unk.
Nebraska	IBM	Current	< 20%
Nevada	IBM	Current	40-60%
New Hampshire	Honeywell	Current	20-40%

Table B-8
CPU Inventory Table

State	Manufacturer	Generation	Utilization %
New Jersey	Honeywell	Current	20-40%
New Mexico	IBM	Current	40-60%
New York	Unisys	Previous	> 80%
North Carolina	IBM	Current	60-80%
North Dakota	IBM	Current	40-60%
Ohio	IBM	Current	60-80%
Oklahoma	IBM	Previous	> 80%
Oregon	Amdahl	Current	60-80%
Pennsylvania	Unisys	Current	> 80%
Rhode Island	Amdahl	Previous	> 80%
South Carolina	Hitachi	Previous	60-80%
South Dakota	IBM	Previous	Unk.
Tennessee	Amdahl	Previous	> 80%
Texas	Unisys	Current	60-80%
Utah	IBM	Previous	Unk.
Vermont	IBM	Previous	40-60%
Virginia	Unisys	Current	40-60%
Washington	Unisys	Current	Unk.
Washington, DC	IBM	Current	20-40%
West Virginia	IBM	Previous	> 80%
Wisconsin	Hitachi	Previous	> 80%
Wyoming	IBM	Previous	20-40%

Table B-9
Software Inventory Table

State	Operating System	Transaction Processor	Database	Software Security
Alabama	MVS/ESA	CICS	IMS/DB2	RACF
Alaska	MVS/ESA	CICS	ADABAS	ACF2
Arizona	MVS/ESA	CICS	ADABAS	ACF2
Arkansas	MVS/ESA	CICS	IMS	ACF2
California	County	Based	Systems	Only
Colorado	MVS/ESA	CICS	None	Top Secret
Connecticut	MVS/ESA	CICS	IMS	ACF2
Delaware	MVS/XA	CICS	IMS	ACF2
Florida	MVS/ESA	None	IMS	RACF
Georgia	MVS/ESA	CICS	DB2	RACF
Hawaii	MVS/XA	CICS	ADABAS	RACF
Idaho	MVS/XA	CICS	ADABAS	Top Secret
Illinois	MVS/ESA	CICS	IMS	RACF
Indiana	MVS/ESA	CICS	IMS	ACF2
Iowa	MVS/XA	CICS	IDMS	RACF
Kansas	MVS/ESA	CICS	ADABAS	Top Secret
Kentucky	MVS/ESA	CICS	IMS	RACF
Louisiana	MVS/ESA	CICS	ADABAS	ACF2
Maine	GCOS8	TP8	File Mgmt.	GCOS8
Maryland	MVS/ESA	CICS	DB2	ACF2
Massachusetts	MVS/XA	CICS	ADABAS	RACF
Michigan	GCOS8	TP8	File Mgmt.	GCOS8
Minnesota	MVS/ESA	CICS	ADABAS	ACF2
Mississippi	MVS/ESA	CICS	ADABAS	State code
Missouri	MVS/ESA	CICS	IMS	RACF
Montana	MVS/XA	CICS	IDMS	Unk.
Nebraska	MVS/ESA	CICS	IMS	RACF
Nevada	MVS/ESA	CICS	ADABAS	RACF
New Hampshire	GCOS8	TP8	File Mgmt.	GCOS8

Table B-9
Software Inventory Table

State	Operating System	Transaction Processor	Database	Software Security
New Jersey	GCOS8	DMIV-TP	File Mgmt.	GCOS8
New Mexico	MVS/ESA	CICS	Unk.	ACF2
New York	EXEC 1100	CMS 1100	DMS 1100	Unk.
North Carolina	MVS/ESA	CICS	IMS	RACF
North Dakota	MVS/ESA	CICS	ADABAS	RACF
Ohio	MVS/ESA	CICS	IMS	RACF
Oklahoma	MVS/ESA	CICS	IMS	ACF2
Oregon	MVS/ESA	CICS	IMS	RACF
Pennsylvania	EXEC 1100	CMS 1100	DMS 1100	Unk.
Rhode Island	VM/DOS-VSE	CICS	ADABAS	Natural
South Carolina	MVS/XA	CICS	ADABAS	RACF
South Dakota	MVS/ESA	CICS	ADABAS	RACF
Tennessee	MVS/ESA	CICS	IMS	RACF
Texas	EXEC 1100	Unk.	DMS 1100	Unk.
Utah	MVS/XA	CICS	ADABAS	ACF2
Vermont	MVS/ESA	CICS	ADABAS	RACF
Virginia	EXEC 1100	CMS 1100	MAPPER	SIMAN
Washington	EXEC 1100	Unk.	DMS 1100	Unk.
Washington, DC	MVS/ESA	CICS	ADABAS	NATURAL
West Virginia	MVS/ESA	CICS	IMS	RACF
Wisconsin	MVS/ESA	CICS	DB2	ACF2
Wyoming	MVS/ESA	CICS	ADABAS	RACF

Table B-10
Network Inventory Table

State	Front End Processor Mfg./Model	Protocol	Backbone (Y or N)	Intelligent Nodes (Y or N)	# of Circuits/ Speed of Lines
Alabama	IBM 3725/45	SNA	YES	NO	9.6 - 200 19.2 - 100 T1 - 5
Alaska	IBM 3745	SNA	YES	YES	<4.8 -100 4.8 -100 9.6 -100
Arizona	IBM 3725/45	SNA/SDLC	NO	NO	4.8 - 101 9.6 - 101 T1 - 1
Arkansas	IBM 3745	SNA/SDLC	NO	NO	9.6 - unk. 56 - unk. T1 - 3
California	County	Based	Systems	Only	
Colorado	IBM 3745	SDLC	NO	YES	Unk.
Connecticut	IBM 3745	SNA/SDLC	NO	NO	19.2 - 75
Delaware	NCR 5660	SNA/SDLC	NO	NO	9.6 - 14
Florida	IBM 3745	SNA/SDLC	YES	YES	Unk.
Georgia	IBM 3745	SNA/SDLC	YES	NO	56 - 126 T1 - 10
Hawaii	IBM 3725	SNA/SDLC	NO	NO	Unk.
Idaho	IBM 3725	SDLC	NO	NO	Unk.
Illinois	IBM 3745	SNA/SDLC	YES	YES	9.6-6000 T1 - 28
Indiana	IBM 3745	X.25	NO	NO	9.6 - 26 56 - 30 T1 - 3
Iowa	IBM 3745	SNA/SDLC	YES	NO	9.6-353 56 - 97 T1 - 1
Kansas	IBM 3725	SDLC	YES	NO	9.6 - unk 19.2- unk 56 - unk T1 - 5
Kentucky	IBM 3705/25/45	SNA	YES	NO	19.2-100 T1 - 20
Louisiana	IBM 3725/3745	SDLC	YES	NO	Unk.
Maine	NCR 5655	SDLC	NO	NO	9.9 - 195
Maryland	IBM 3745	SNA/SDLC	YES	YES	Unk.
Massachusetts	IBM 3745	SNA/SDLC	YES	YES	Unk.

Table B-10
Network Inventory Table

State	Front End Processor Mfg./Model	Protocol	Backbone (Y or N)	Intelligent Nodes (Y or N)	# of Circuits/ Speed of Lines
Michigan	HW Datanet 8	HW-VIP/X.25	NO	NO	4.8 - 50 9.6 - 50
Minnesota	NCR 5660 IBM 3745	SNA/SDLC	NO	NO	14.4 - 66 19.2 - 50 56 - 4
Mississippi	IBM 3725	SDLC	NO	NO	
Missouri	IBM 3745	SNA/SDLC	NO	NO	4.8 - 30 9.6 - 30 14.4 - 30 56 - 4
Montana	IBM 3745	SNA/SDLC	YES	YES	Unk.
Nebraska	IBM 3745	SDLC	NO	NO	Unk.
Nevada	IBM 3745	SNA/SDLC	YES	NO	9.6 - 85 19.2 - 15 T1 - 1
New Hampshire	HW	HDLC	YES	NO	9.6 - 7 19.2 - 6
New Jersey	HW	HDLC	NO	NO	9.6 - 42 56 - 4
New Mexico	IBM 3725	SNA/SDLC	YES	NO	Unk.
New York	Unisys DCP40/50	Uniscope	YES	NO	Unk.
North Carolina	IBM 3745	SNA/SDLC	YES	YES	9.6 - 400 T1 - 6 T3 - 2
North Dakota	IBM 3745	SDLC/ TCP/IPX.25	YES	YES	9.6 - 51 T1 - 6 T3 - 6
Ohio	IBM 3745	SDLC	Unk.	Unk.	Unk.
Oklahoma	IBM 3745	SNA/SDLC	YES	NO	Unk.
Oregon	IBM 3745	SNA/SDLC	NO	NO	9.6 - unk T1 - 4
Pennsylvania	Tandem TXP	Uniscope	YES	NO	19.2 - 220
Rhode Island	Amdahl 4725	SDLC	YES	NO	9.6 - unk 56 - 4
South Carolina	IBM 3725	SDLC	NO	NO	9.6 - 4 14.4 - 14
South Dakota	IBM 3745	SDLC	YES	NO	9.6 - 45 T1 - 9 T3 - 4

Table B-10
Network Inventory Table

State	Front End Processor Mfg./Model	Protocol	Backbone (Y or N)	Intelligent Nodes (Y or N)	# of Circuits/ Speed of Lines
Tennessee	IBM 3745	SNA/SDLC	YES	YES	9.6 - 472 T1 - 12
Texas	Unisys DCP 40/50	Uniscope	YES	NO	56 - 525 T1 - 6
Utah	IBM 3745	SNA/SDLC	YES	NO	Unk.
Vermont	IBM 3725	SNA/SDLC	NO	NO	9.6 - 12
Virginia	Unisys DCP 35	Uniscope	YES	NO	9.6 - 100 19.2- 47 T1 - 14
Washington	IBM 3745	Uniscope	NO	NO	Unk.
Washington, DC	IBM 3745	SNA/SDLC	NO	NO	9.6 - 53 56 - 2
West Virginia	IBM 3725/3745	SNA/SDLC	YES	NO	Unk.
Wisconsin	IBM 3745 Amdahl 4745	SNA	YES	YES	9.6 - 300 56 - 200 T1 - 25
Wyoming	IBM 3705/3745	SDLC	YES	NO	Unk.

APPENDIX C

SYSTEM TRANSFER TABLES

Table C-1
Survey of State Transfer Satisfaction

State	System Transfer Planned or Done?	Cost Ratio Actual/ Est. **	User Satisfaction Averages 3= High 2= Medium 1=Low Satisfaction				
			EW Helpful in Job	EW No added Stress	EW Ease of Use	Mgr. Helpful in Job	Mgr. No added Stress
Alabama	Y	0.42	2.91	2.60	2.71	2.84	2.45
Alaska		N/A	3.00	2.58	2.69	2.70	2.40
Arizona	Y	2.15	2.86	2.46	2.70	2.92	2.75
Arkansas		N/A	2.73	2.67	2.75	2.80	2.36
California*		N/A	N/A	N/A	N/A	N/A	N/A
Colorado	Y	N/A	2.83	2.72	2.73	2.71	2.71
Connecticut		3.42	2.76	2.16	2.63	2.71	2.18
Delaware		2.64	2.69	2.28	2.54	2.70	2.10
District of Columbia	Y	1.31	2.75	2.31	2.67	2.87	2.33
Florida*	Y	0.93	2.63	2.03	2.53	2.46	1.54
Georgia		N/A	2.87	2.37	2.66	2.76	2.25
Hawaii	Y	0.63	3.00	2.49	2.75	2.95	2.50
Idaho		2.04	2.72	1.88	2.58	2.85	2.15
Illinois***		0.55	2.88	2.56	2.53	2.71	2.29
Indiana*	Y	0.20	2.70	2.13	2.52	2.84	2.25
Iowa	Y	0.77	2.94	2.46	2.66	2.81	2.52
Kansas	Y	1.70	2.89	2.41	2.82	2.75	2.29
Kentucky		1.53	2.36	1.85	2.58	1.90	1.75
Louisiana*		2.35	2.94	2.34	2.74	2.93	2.67
Maine*	Y	N/A	2.68	2.71	2.77	2.48	2.45
Maryland*	Y	0.53	2.67	2.33	2.48	2.20	2.20
Massachusetts*		N/A	2.50	2.50	2.67	3.00	2.63
Michigan*	Y	0.37	3.00	2.50	2.40	2.50	3.00
Minnesota	Y	1.51	2.68	2.15	2.77	2.79	2.37
Mississippi	Y	N/A	2.85	2.38	2.75	2.77	2.38
Missouri*	Y	N/A	2.74	2.50	2.70	2.95	2.73
Montana	Y	0.86	2.96	2.57	2.79	N/A	N/A
Nebraska*		N/A	2.92	2.62	2.73	2.84	2.72

Table C-1
Survey of State Transfer Satisfaction

State	System Transfer Planned or Done?	Cost Ratio Actual/ Est.**	User Satisfaction Averages 3= High 2= Medium 1=Low Satisfaction				
			EW Helpful in Job	EW No added Stress	EW Ease of Use	Mgr. Helpful in Job	Mgr. No added Stress
Nevada*	Y	N/A	2.83	2.51	2.72	2.58	2.58
New Hampshire		N/A	2.71	1.90	2.54	2.38	1.92
New Jersey		1.60	2.63	2.33	2.70	2.71	2.57
New Mexico	Y	2.29	2.79	2.28	2.62	2.87	1.87
New York		1.07	2.94	2.50	2.81	2.77	2.31
North Carolina	Y	2.06	2.83	2.62	2.72	2.94	2.88
North Dakota***	Y	1.00	2.96	2.45	2.87	2.71	2.43
Ohio		N/A	--	--	--	--	--
Oklahoma***		1.17	2.75	2.43	2.60	2.73	2.36
Oregon*		N/A	2.84	2.34	2.61	2.73	2.64
Pennsylvania		4.57	2.71	1.97	2.66	2.68	2.10
Rhode Island	Y	2.76	2.38	1.75	2.55	2.62	1.46
South Carolina	Y	N/A	--	--	--	--	--
South Dakota	Y	1.84	2.79	2.28	2.70	2.88	2.50
Tennessee*	Y	9.38	2.81	2.30	2.72	2.79	2.00
Texas***		1.77	2.86	2.19	2.65	2.87	2.57
Utah	Y	8.43	2.94	2.68	2.77	2.87	2.61
Vermont		1.14	2.95	2.51	2.83	3.00	2.54
Virginia*		N/A	2.78	2.13	2.60	2.94	2.50
Washington*	Y	0.04	2.86	2.64	2.66	2.83	2.50
West Virginia*	Y	0.04	2.59	2.37	2.31	2.72	2.48
Wisconsin	Y	0.13	2.90	2.52	2.65	3.00	2.25
Wyoming	Y	N/A	--	--	--	2.86	2.57

* Incomplete figures; project still in development.

** Cost ratios (actual/estimated cost) are affected by the lack of detailed information; others are older and records were incomplete.

*** Actual costs are estimated.

Table C-2
States Transfer Selection Criteria
(Only States Which Transfer Systems)

State	Similar Hardware/ Software	Similar FSP Organization or Caseload	Urban/Rural Environment	County vs State Administered	State Size & Geography	Degree of Application Integration	System Functionality	FAMIS Certified	Other
Alabama									✓
Arizona		✓				✓	✓	✓	
Colorado		✓	✓		✓		✓		
District of Columbia		✓				✓	✓	✓	
Florida		✓				✓		✓	
Hawaii	✓						✓		
Indiana	✓	✓	✓	✓	✓		✓	✓	
Iowa									✓
Kansas							✓	✓	
Maine		✓				✓	✓	✓	✓
Maryland	✓	✓	✓	✓			✓	✓	
Michigan							✓		
Minnesota	✓					✓	✓	✓	
Mississippi	✓								✓
Missouri						✓	✓		✓
Montana	✓	✓	✓			✓	✓	✓	
Nevada	✓	✓	✓			✓	✓	✓	
New Mexico		✓		✓	✓	✓	✓	✓	✓
North Carolina	✓	✓		✓		✓	✓		✓

Table C-2
States Transfer Selection Criteria
(Only States Which Transfer Systems)

State	Similar Hardware/ Software	Similar FSP Organization or Caseload	Urban/Rural Environment	County vs State Administered	State Size & Geography	Degree of Application Integration	System Functionality	FAMIS Certified	Other
North Dakota	✓								
Rhode Island		✓	✓	✓	✓	✓	✓	✓	
South Carolina	✓	✓						✓	
South Dakota	✓	✓				✓	✓		
Tennessee	✓	✓				✓			
Utah	✓	✓	✓	✓			✓	✓	

Table C-3
States Methods for Obtaining Transfer System Information
(Only States Which Transfer Systems)

State	Demonstration	State Discussion	State Visits	State Doc. Review	Vendor Discussion	FNS Discussion	DHHS Discussion	Other	# Systems Reviewed	# Systems Feasible
Alabama	✓	✓							N/A	N/A
Arizona	✓	✓	✓	✓			✓		4	3
Colorado	✓	✓	✓	✓		✓			3	0
District of Columbia		✓	✓	✓	✓		✓		21	3
Florida		✓	✓	✓					7	1
Hawaii	✓	✓	✓	✓		✓		✓	3	1
Indiana	✓	✓	✓	✓	✓				3	1
Iowa								✓	2	2
Kansas	✓	✓			✓				4	2
Maine	✓	✓	✓	✓	✓	✓	✓		9	N/A
Maryland	✓	✓	✓	✓		✓	✓		7	1
Michigan	✓	✓	✓	✓	✓				7	2
Minnesota		✓	✓	✓	✓		✓		8	2
Mississippi	✓	✓	✓			✓	✓		2	1
Missouri	✓	✓	✓	✓					7	N/A
Montana	✓	✓	✓	✓	✓	✓	✓	✓	13	1
Nevada	✓	✓	✓	✓	✓				7	3

Table C-3
States Methods for Obtaining Transfer System Information
(Only States Which Transfer Systems)

State	Demonstration	State Discussion	State Visits	State Doc. Review	Vendor Discussion	FNS Discussion	DHHS Discussion	Other	# Systems Reviewed	# Systems Feasible
New Mexico		✓	✓		✓	✓	✓		5	1
North Carolina		✓	✓	✓	✓	✓			4	2
North Dakota	✓	✓	✓	✓	✓		✓		3	2
Rhode Island	✓	✓	✓	✓					3	2
South Carolina	✓	✓	✓	✓					N/A	N/A
South Dakota	✓	✓	✓	✓	✓		✓		4	2
Tennessee	✓	✓	✓		✓				7	2
Utah	✓	✓	✓	✓	✓	✓	✓	✓	4	4
Washington	✓	✓	✓	✓	✓	✓	✓		5	1
West Virginia	✓	✓	✓	✓	✓	✓	✓	✓	5	3
Wisconsin	✓	✓	✓	✓				✓	4	3
Wyoming	✓	✓	✓	✓	✓	✓	✓	✓	7	2
Totals	23	28	26	23	17	12	17	7		

Table C-4
Degree of System Transfer and Customization

State	Transfer Degree	Degree of Customization
Alabama	9	30
Arizona	10	30
Colorado	3	80
District of Columbia	6	30
Florida	6	90
Hawaii	10	25
Indiana	10	50
Iowa	1	100
Kansas	5	50
Maine	N/A	N/A
Maryland	N/A	N/A
Michigan	8	100
Minnesota	5	95
Mississippi	7	60
Missouri	N/A	N/A
Montana	1	90
Nevada	N/A	N/A
New Mexico	1	95
North Carolina	9	20
North Dakota	10	30
Rhode Island	10	75
South Carolina	8	70
South Dakota	7	100
Tennessee	8	20
Utah	8	95
Washington	N/A	N/A
West Virginia	N/A	N/A
Wisconsin	N/A	N/A
Wyoming	8	75

Table C-5
Advantages/Disadvantages in System Transfers

State	Advantages in Transferring						Disadvantages in Transferring				
	Cost Savings	Time Savings	Less Risk	FAMIS Cert.	Increased Reliability	Other	Customization	Fewer User Reqs.	Work Process Changes	Loss of Existing Function	Other
Alabama *											
Alaska *											
Arizona	✓	✓	✓	✓	✓						
Arkansas	✓	✓	✓		✓		✓	✓	✓		
California *											
Colorado	✓	✓	✓		✓	✓	✓	✓			✓
Connecticut							✓	✓	✓		
Delaware *											
District of Columbia	✓	✓	✓	✓	✓						
Florida				✓			✓				
Georgia *											
Hawaii	✓	✓									✓
Idaho *											
Illinois *											
Indiana			✓	✓	✓		✓	✓		✓	
Iowa *											
Kansas	✓	✓	✓	✓	✓		✓				

Table C-5
Advantages/Disadvantages in System Transfers

State	Advantages in Transferring						Disadvantages in Transferring				
	Cost Savings	Time Savings	Less Risk	FAMIS Cert.	Increased Reliability	Other	Customization	Fewer User Reqs.	Work Process Changes	Loss of Existing Function	Other
Kentucky *											
Louisiana	✓	✓	✓	✓	✓	✓	✓	✓			
Maine	✓	✓	✓								
Maryland		✓	✓	✓	✓		✓	✓			
Massachusetts			✓		✓		✓	✓		✓	✓
Michigan	✓	✓	✓				✓				
Minnesota	✓	✓	✓	✓	✓					✓	
Mississippi	✓	✓	✓								✓
Missouri	✓	✓	✓				✓				
Montana	✓	✓	✓	✓	✓		✓				✓
Nebraska	✓	✓	✓		✓		✓	✓			✓
Nevada		✓	✓	✓	✓						
New Hampshire *											
New Jersey *											
New Mexico	✓	✓	✓		✓	✓	✓	✓	✓		✓
New York *											

Table C-5
Advantages/Disadvantages in System Transfers

State	Advantages in Transferring						Disadvantages in Transferring				
	Cost Savings	Time Savings	Less Risk	FAMIS Cert.	Increased Reliability	Other	Customization	Fewer User Reqs.	Work Process Changes	Loss of Existing Function	Other
North Carolina	✓	✓	✓		✓	✓		✓	✓		✓
North Dakota	✓	✓	✓	✓	✓		✓				
Ohio											
Oklahoma *											
Oregon	✓	✓		✓			✓	✓		✓	✓
Pennsylvania	✓	✓	✓	✓			✓			✓	✓
Rhode Island	✓	✓	✓	✓	✓		✓		✓		
South Carolina *											
South Dakota	✓	✓	✓		✓		✓				✓
Tennessee		✓			✓	✓	✓				✓
Texas			✓		✓	✓	✓	✓		✓	✓
Utah	✓	✓	✓	✓	✓	✓		✓			
Vermont *											
Virginia	✓	✓	✓			✓	✓				✓
Washington	✓	✓	✓	✓	✓		✓				
West Virginia	✓		✓	✓	✓		✓				

Table C-5
Advantages/Disadvantages in System Transfers

State	Advantages in Transferring						Disadvantages in Transferring				
	Cost Savings	Time Savings	Less Risk	FAMIS Cert.	Increased Reliability	Other	Customization	Fewer User Reqs.	Work Process Changes	Loss of Existing Function	Other
Wisconsin	✓	✓	✓		✓						✓
Wyoming	✓	✓	✓	✓	✓	✓	✓		✓		✓

* State has never transferred a system and has no opinions about system transfers.

APPENDIX D

STATE AUTOMATION COSTS

AND COST ALLOCATION METHODOLOGIES

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
AL	Hardware Personnel	100% charged to FSP	Computer usage Direct cost pools	RMS Computer resource usage	State owned and operated
AK	Hardware Contractor Personnel	Direct charge to program Split among programs on basis of recipient count	Personnel Data Processing System Operations Communications	RMS	State owned and operated
AZ	Hardware Software Contractor Personnel	AZ modified random moment Survey percentages	Maintenance Equipment Operations	AZ modified random moment survey percentages	State owned and operated
AR	Software Training	100% FNS	Personnel CPU	100% FNS	State owned and operated
CA	Hardware Contractor Personnel	Time studies County average duplicated case counts	County computer usage Personnel time allocations	County time studies Program support ratios based on cost pools	Independent county-run systems
CO	Personnel Hardware	Direct charge to FSP	Personnel CPU Usage Indirect costs	Direct charge to FSP (personnel and CPU usage) Indirect rate applied to personnel/salaries	State owned and operated
CT	Hardware Personnel Contractor	Weighted functional usage based on a proportion all of system activity tied to each assistance program	Computer usage	RMS Proportional share of FSP functional activity	State owned and operated
DE	Contractor	No detailed information available	Computer usage Indirect cost pools	RMS Computer resource usage	State owned and operated

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
DC	Hardware Software Contractor Personnel Training	Proportional based on a program's share of total system activity	Not yet determined	Computer usage Personnel activity charges	District owned and operated
FL	Hardware Software Contractor Personnel	Standard % established and used throughout development process	Computer usage Personnel Telecommunications	Activity assigned to billable or allocateable OCAs which are then allocated to its supporting programs	State owned and operated
GA	Hardware Contractor Personnel	RMS (PARISOL) No documentation available for PARIS	Computer usage Direct cost pools	RMS	State owned and operated
HI	Personnel Contractor Hardware	Workload factors RMS	Personnel Mainframe services and support (ICSD invoice) Computer leases	RMS	Third party owned and operated
ID	Personnel Hardware Contractor	RMS	Information Systems A (systems programming provided by Bureau of Computer Services and direct computer usage charges) Information Systems B (data processing, systems development and maintenance, data entry and reporting)	RMS	State owned and operated

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
IL	Hardware Software	Unk	Personnel	Direct charges Certified listing No. of reports processed CPU usage No. of terminals	State owned and operated
IN	Hardware Personnel Contractor Software Telecommunications Training	Unduplicated case count	Computer usage Telecommunications	RMS Computer/system usage	Lease/purchase and State operated
IA	Hardware Personnel	RMS	Staff Communications Services	RMS	State owned and operated
KS	Hardware Personnel Contractors Training	Fixed weighted factors RMS	Computer usage Personnel	CPU usage RMS	State owned and operated
KY	Hardware Software Contractor Personnel Training	100% charged to FNS	Computer usage Personnel Indirect charges	Coded activity based on case count	State owned and operated
LA	Hardware Contractor Personnel	Weighting analysis and direct charge and cost pools and common module	Personnel ADP services	RMS No. of cases	State owned and operated

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
ME	Hardware Contractor Personnel	Unduplicated case count	Computer usage	RMS Resource usage	Leased/purchase and State operated
MD	Contractor Hardware Personnel	Unduplicated case count Fixed % based on functional weight basis	ADP personnel CPU usage	Standard time indicators multiplied by quarterly unduplicated case counts	Timesharing
MA	Not yet determined	Not yet determined	Computer usage Indirect cost pools	Resource usage Fixed % program codes	State owned and operated
MI	Hardware Contractor Personnel Facilities	Proportionate to complexity of policy and subsystem supporting the specific program	Contractor Personnel Training Hardware Facilities	Resource usage	
MN	Hardware Contractor Personnel	Direct costs Indirect costs allocated by program % of direct cost totals	Computer usage Personnel	Unduplicated case count	State owned and operated
MS	Hardware Personnel Contractor	Fixed percentages approved by Federal agencies	Facilities management contract costs Computer usage Personnel	Computer usage percentages	State owned and operated
MO	Hardware Software	Unduplicated case count	Personnel Data processing Data entry Teleprocessing	Proportionate per program Usage by program Proportionate per program Transaction by program	State owned and operated
MT	Hardware Contractor Personnel	Fixed % approved by Federal agencies	Facilities management contract costs Computer usage Personnel	CPU usage	Contractor owned and operated

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
NE	Hardware Software Contractor Personnel	Functional weighting	ADP Telecommunications Indirect costs	Direct charge Proportionate share based on direct charge ratio Set %	State owned and operated
NV	Hardware Software Contractor Personnel	Direct charge % of indirect charges based on direct cost percentage	CICS activity Personnel Teleprocessing	Direct charge % of indirect charges	State owned and operated
NH	Hardware Contractor Personnel	RMS	Computer usage Indirect costs	Time studies	State owned and operated
NJ	Hardware Contractor Personnel	Allocated 5 cost pools and assigned a calculated % of total costs to FSP	Computer usage Indirect costs	Step down calculation of costs assigned to functional activities RMS Unduplicated case counts	State owned and operated
NM	Hardware Personnel Contractor	Allocation % derived from weighted unduplicated case counts	ADP personnel Purchases services Administrative support	CICS transaction counts	State owned and operated
NY	Hardware Personnel	Weighted data elements and record size Case counts	Computer usage Direct and indirect cost pools	Time studies Case counts Computer resource usage	State owned and operated
NC	Hardware Personnel	100% allocated to FSP	Computer usage ADP personnel Telecommunications	Unduplicated case counts FSP share of accumulated transaction totals assigned to direct and indirect cost pools	State owned and operated

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
ND	Hardware Personnel Contractor	Time study	ADP personnel CPU usage Storage usage	Cost breakout by system	State owned and operated
OH	Hardware Contractor Personnel Training	Unduplicated case counts	Computer usage Direct and indirect cost pools	Case counts RMS	State owned and operated
OK	Hardware Personnel Contractor	Case counts	Computer usage Direct and indirect cost pools	Assigned function codes Case counts	State owned and operated
OR	Hardware Software	Proportional program caseloads	Personnel CPU Teleprocessing	Direct charge codes Prorated codes	State owned and operated
PA	Hardware Software Personnel	Direct charge % based on recipient counts	Computer resource usage	% based on number of recipients and benefits received % based solely on recipient counts	State owned and operated
RI	Hardware Contractor Personnel	Fixed % approved by Federal agencies	Date entry CPU costs Contractor costs	Direct charge to FSP Database usage statistics Program's share of work order costs and database usage	State owned and operated
SC	Hardware Software Contractor Personnel Training	Unk.	Computer usage Direct and indirect cost pools	Unk.	State owned and operated

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
SD	Hardware Personnel Operations Contractor	Time study	Access direct Access indirect AES direct AES indirect Vouchers direct	Direct charge Proportionate share Direct charge Proportionate share Direct charge	State owned and operated
TN	Hardware Personnel Contractor	RMS	ADP Personnel	Proportional formula RMS	State owned and operated
TX	Hardware Personnel	Manhour percentages	Terminals and Workstations maintenance LAN/Network Mainframe	RMS Workstation ownership percentages CPU usage	State owned and operated
UT	Hardware Contractor Personnel	Cost/workload ratio	ADP Contractor Personnel	Direct charge RMS Indirect charges allocated proportionally	State owned and operated
VT	Hardware Contractor Personnel	Program cost share determined by a fixed % of calculated benefits to be achieved by each program for each of 6 development phases	Computer usage Direct and indirect cost pools	Computer resource usage Personnel billing codes	State owned and operated
VA	Hardware Personnel Contractor	100% of all direct costs; indirect costs accumulated and allocated using % of program direct costs divided by total direct costs	Computer usage Direct and indirect cost pools	Computer resource usage RMS	State owned and operated
WA	Hardware Personnel Contractor	Weighted duplicated case counts	Computer usage Direct and indirect cost pools	Computer resource usage RMS Case counts	State owned and operated

Table D-1
Cost Allocation Bases

ST	DEVELOPMENT COST COMPONENTS ¹	DEVELOPMENT COST ALLOCATION BASIS ²	ADP OPERATIONAL COST COMPONENTS ¹	ADP OPERATIONAL COST ALLOCATION BASIS ²	MAINFRAME ³
WV ⁴	Hardware Contractor Personnel	Allocation percentages to be used throughout the development effort were derived from weighted unduplicated cases counts.	CPU usage (IS&C invoice)	Direct charge to FSP	N/A (not yet developed or operational)
WI	Hardware Contractor Personnel	Recipient count Proportionate share determined by caseload/number of processes	CRN operations Food Stamp Machine Food Stamp Particle	Direct Program related activities Case related activities Recipient related activities	State owned and operated
WY	Hardware Personnel Contractor	Time studies Federally approved ratios from transferring State development experience	Computer usage Cost pools	Computer resource usage Time studies	State owned and operated

Notes

- ¹ The cost components provided for both development and operations are the most material costs. Other types of costs may have been included.
- ² The cost allocation basis for both development and operational costs refers to the basis used to allocate to the Federal programs. Other bases may have been used to allocate costs to various PAS cost centers before allocating to the programs.
- ³ This column describes the mainframe scenario by which the PAS was developed and currently operates.
- ⁴ Information provided is for the RAPIDS system which is currently in the planning stage.
- ⁵ Percentages were calculated based on an average of other percentages for unduplicated case counts, individuals served, personnel, and program's share of current system cost.

Table D-2
State Development and Operational Costs

State	System Name	Initial Development Funding Request	Actual Development Cost	FNS Operational Costs			Cost Per Case (1992)
				1990	1991	1992	
AL	SCI-II	\$ 3,217,500	\$ 1,350,000	\$ 352,065	\$ 317,747	\$ 399,806	\$ 0.32
AK	EIS	Unk.	\$ 4,400,000	Unk.	\$ 2,500,000	\$ 2,000,000	\$11.67
AZ	AZTECS	\$ 8,761,000	\$ 18,814,946	\$ 4,371,107	\$ 4,181,325	\$ 4,683,234	\$ 2.33
AR	FACTS	Unk.	Unk.	\$ 373,231	\$ 371,127	\$ 505,866	\$ 0.82
CA ¹	SAWS	\$372,200,000	Unk.	N/A	N/A	N/A	N/A
CO ²	CAFSS	Unk.	\$ 2,031,395	Unk.	Unk.	\$ 2,049,277	\$ 1.65
CT	EMS	\$ 7,444,742	\$ 25,446,201	\$ 2,104,655	\$ 3,968,382	\$ 3,902,145	\$ 3.81
DE	DCIS	\$ 1,945,096	\$ 5,126,418	\$ 227,015	\$ 169,976	\$ 214,384	\$ 2.08
DC	ACEDS	\$17,868,000	\$ 23,451,000	\$ 613,166	\$ 1,183,823	\$ 894,940	\$ 2.33
FL	FLORIDA	\$94,319,543	\$ 87,612,773 (as of 5/92)	\$ 1,500,796	\$ 1,372,755	\$ 5,483,970	\$ 1.68
GA	PARIS/ PARISOL	\$ 9,591,571 ³	\$ 17,541,602	\$ 3,104,941	\$ 3,294,544	\$ 3,176,645	\$ 1.99
HI	HAWI	\$15,118,770	\$ 9,492,920 (as of 5/89)	\$ 766,795	\$ 1,208,803	\$ 800,065	\$ 3.43
ID	EPICS	\$ 3,763,030	\$ 7,666,445	Unk.	\$ 403,574	\$ 491,125	\$ 3.09
IL	CIS	\$10,500,610	\$ 5,800,000	Unk.	\$ 1,448,186	\$ 1,580,866	\$ 0.54
IN	ICES	\$37,700,000	\$ 4,460,000 (as of 12/92)	\$ 990,743	\$ 302,978	\$ 212,319	\$ 0.20
IA	X-PERT	\$ 3,561,514	\$ 355,716 (as of 5/93)	\$ 1,041,168	\$ 939,528	\$ 1,118,838	\$ 2.41
KS	KAECSES	\$11,937,168	\$ 20,280,522	\$ 391,488	\$ 352,425	\$ 385,469	\$ 0.94
KY	KAMES-FS	Unk.	\$ 25,800,000	\$ 3,203,904	\$ 2,174,143	\$ 2,322,113	\$ 1.92

¹ California has no statside system and, therefore, no operational costs.

² Costs available for claims component only. Original transfer data not provided.

³ PARISOL only. No data for PARIS.

Table D-2
State Development and Operational Costs

State	System Name	Initial Development Funding Request	Actual Development Cost	FNS Operational Costs			Cost Per Case (1992)
				1990	1991	1992	
LA	L'AMI	\$ 2,658,607	\$ 6,249,547 (as of 6/93)	\$ 246,356	\$ 216,227	\$ 306,526	\$ 0.18
ME	FAMIS	\$22,218,969	\$ 876,575 (as of 12/92)	\$ 350,516	\$ 395,851	\$ 413,112	\$ 1.10
MD	CARES	\$28,571,993	\$ 15,021,144 (as of 6/93)	\$ 658,800	\$ 452,266	\$ 295,206	\$ 0.33
MA	BEACON	\$35,000,000	N/A	\$ 304,517	\$ 246,362	\$ 205,716	\$ 0.19
MI	ASSIST	\$85,421,194	\$ 9,039,840 (as of 9/92)	Unk.	\$ 1,286,704	\$ 1,211,288	\$ 0.50
MN	MAXIS	\$50,067,000	\$32,790,000 (as of 12/91)	Unk.	Unk.	\$ 2,693,333	\$ 2.68
MS	MAVERICS	Unk.	\$ 8,738,407	\$ 1,042,835	\$ 1,210,016	\$ 849,989	\$ 0.83
MO	FAMIS	\$68,635,503	N/A	\$ 721,169	\$ 804,342	\$ 804,951	\$ 0.62
MT	TEAMS	\$12,068,001	\$10,430,331	Unk.	\$ 1,909,564	\$ 2,197,670	\$ 4.09
NE	FAMIS	\$41,619,900	\$ 537,983 (as of 3/93)	\$ 434,377	\$ 267,765	\$ 308,015	\$ 1.18
NV	NOMADS	\$22,623,574	\$ 534,439 (as of 3/93)	\$ 317,364	\$ 333,708	\$ 236,004	\$ 0.54
NH	FAMIS	\$25,000,000	\$ 50,000 (as of 7/93)	\$ 360,300	\$ 616,084	\$ 646,130	\$ 2.06
NJ	FAMIS	\$20,000,000	\$32,000,000	\$ 2,233,945	\$ 2,488,182	\$ 2,217,919	\$ 1.81
NM	ISD2	\$ 4,911,697	\$11,277,964	\$ 1,090,997	\$ 1,334,721	\$ 1,172,226	\$ 2.55
NY (2 systems)	WMS(upstate)	\$41,800,000	\$110,800,000	\$ 8,779,394	\$ 9,386,957	\$ 8,361,957	\$ 1.61
	WMS(NY city)	\$75,416,250	\$80,469,963				
NC	FSIS	\$ 1,239,379	\$ 2,553,001	\$ 1,242,094	\$ 1,621,466	\$ 1,422,002	\$ 0.99
ND	TECS	Unk.	\$ 2,440,530	\$ 356,418	\$ 439,268	\$ 417,994	\$ 3.82
OH	CRIS-E	\$32,000,000	\$69,715,000 ⁴ (as of 3/92)	\$ 130,042	\$ 1,14,757	\$ 3,986,975	\$ 1.26

⁴ Contains some operational costs that cannot be isolated.

Table D-2
State Development and Operational Costs

State	System Name	Initial Development Funding Request	Actual Development Cost	FNS Operational Costs			Cost Per Case (1992)
				1990	1991	1992	
OK	ICIS	\$ 1,440,829	\$ 1,683,465	\$ 1,141,097	\$ 1,161,813	\$ 1,298,732	\$ 1.58
OR	IES	\$17,786,371	Not yet started	\$ 691,658	\$ 1,028,975	\$ 928,489	\$ 1.23
PA	CIS	\$15,874,000	\$72,480,176	\$ 4,746,566	\$ 4,583,951	\$ 5,326,061	\$ 1.70
RI	INRHODES	\$ 3,688,758	\$10,187,000	\$ 133,440	\$ 344,664	\$ 402,850	\$ 1.72
SC	CHIP	\$10,218,020	\$15,470,646	\$ 1,194,689	Unk.	Unk.	\$ 0.95
SD	ACCESS	\$ 1,743,789	\$ 3,200,152	Unk.	\$ 292,775	\$ 276,404	\$ 2.34
TN	ACCENT	\$44,500,000	\$40,607,913 (as of 4/92)	Unk.	Unk.	\$ 3,110,229	\$ 3.62
TX	WELNET	\$22,447,934	\$39,794,007	\$ 4,896,854	\$ 3,616,729	\$ 4,225,121	\$ 0.78
UT	PACMIS	\$ 1,247,571	\$10,813,519	\$ 780,395	\$ 858,885	\$ 800,143	\$ 1.44
VT	ACCESS	\$ 3,800,000	\$ 4,331,764	\$ 130,785	\$ 164,939	\$ 181,301	\$ 1.25
VA	VACIS/ ADAPT	\$19,260,009	Not yet established	Unk.	Unk.	Unk.	Unk.
WA	ITIS/ ACES	\$41,849,231 (ACES)	\$ 301,054 (as of 11/93)	\$2,750,955 ⁵	\$ 2,915,474	\$ 2,967,953	\$ 1.41
WV	RAPIDS	\$26,944,322	\$ 384,049 (as of 3/93)	Unk.	\$ 250,412	\$ 216,742	\$ 0.15
WI	CARES	\$39,621,423	\$ 5,200,000 (as of 3/93)	\$ 880,959	\$ 1,043,394	\$ 1,438,931	\$ 0.96
WY	EPICS	\$ 3,094,999	No figures provided by State	\$ 674,399	\$ 719,909	\$ 760,328	\$10.02

⁵ Full operational costs. FNS share and FFP not calculated.

APPENDIX E

STATE IMPLEMENTATION OF REGULATORY CHANGES TABLES

Table E-1
Timeliness in Implementing Regulatory Changes

State	General Timeframe to Implement Changes	% of Applicable Regulations Implemented on Time	% of Applicable Regulations Requiring Programming Changes	% of Applicable Regulations Requiring Legislative Changes
AK	Satisfactory	80.0%	70.0%	100.0%
AL	Very Fast	91.7%	41.7%	8.3%
AR	Very Fast	85.7%	21.4%	85.7%
AZ	Satisfactory	100.0%	58.3%	58.3%
CA		76.9%	0.0%	38.5%
CO	Satisfactory	85.7%	42.9%	78.6%
CT	Very Slow	42.9%	100.0%	100.0%
DC	Very Fast	83.3%	25.0%	0.0%
DE	Very Fast	81.8%	81.8%	81.8%
FL	Satisfactory	84.6%	53.8%	0.0%
GA	Very Fast	83.3%	58.3%	0.0%
HI	Very Fast	91.7%	33.3%	91.7%
IA	Very Fast	23.1%	38.5%	76.9%
ID	Very Slow	66.7%	41.7%	83.3%
IL	Satisfactory	23.1%	53.8%	69.2%
IN	Satisfactory	76.9%	15.4%	0.0%
KS	Very Slow	57.1%	28.6%	78.6%
KY	Very Fast	100.0%	46.2%	0.0%
LA	Very Fast	100.0%	53.8%	92.3%
MA		46.2%	15.4%	61.5%
MD	Very Slow	83.3%	41.7%	58.3%
ME	Very Fast	85.7%	28.6%	78.6%
MI	Satisfactory	30.0%	40.0%	80.0%
MN	Very Fast	100.0%	0.0%	0.0%
MO	Satisfactory	75.0%	75.0%	83.3%
MS	Very Slow	80.0%	100.0%	100.0%
MT	Very Fast	92.9%	7.1%	0.0%

1. The first step in the process is to identify the problem or issue that needs to be addressed. This involves gathering information and understanding the context of the problem.

2. Once the problem is identified, the next step is to define the objectives and goals of the project. This helps to clarify what needs to be achieved and provides a clear direction for the team.

3. The third step is to develop a plan or strategy to address the problem. This involves breaking down the problem into smaller, manageable tasks and determining the resources needed to complete each task.

4. The fourth step is to implement the plan. This involves putting the strategy into action and monitoring progress to ensure that the project is on track.

5. The final step is to evaluate the results of the project. This involves assessing the outcomes against the objectives and goals and identifying any areas for improvement.

Table E-2
Committee Responsibility for Changes

State	Whether Have Change Control Committee	Committee Representation					Committee Responsibilities				Whether Process Differs by Type of Change
		FSP	AFDC, Medicaid, General Assist.	MIS	Contractor	Other	Prt. Setting	Change Approval	Oversight	User Input	
AK	Y	✓	✓			✓	✓	✓			N
AL	Y	✓	✓	✓		✓	✓	✓			N
AR	N										Y
AZ	N										N/A
CA	N										N
CO	N	✓									N
CT	Y			✓		✓	✓	✓		✓	Y
DC	Y			✓	✓	✓	✓	✓			N
DE	Y					✓	✓	✓		✓	N
FL	Y	✓	✓	✓			✓	✓			Y
GA	Y			✓				✓	✓	✓	N
HI	Y										Y
IA	Y	✓	✓	✓		✓	✓				N
ID	Y	✓	✓	✓			✓			✓	Y
IL	Y	✓	✓	✓			✓				N
IN	N										N
KS	Y	✓	✓	✓		✓	✓			✓	Y

Table E-2
Committee Responsibility for Changes

State	Whether Have Change Control Committee	Committee Representation					Committee Responsibilities				Whether Process Differs by Type of Change
		FSP	AFDC, Medicaid, General Assist.	MIS	Contractor	Other	Prt'y. Setting	Change Approval	Oversight	User Input	
KY	Y			✓		✓	✓			✓	N
LA	N										N
MA	N										N
MD	Y	✓	✓				✓	✓		✓	Y
ME	N			✓							N
MI	N	✓	✓	✓		✓	✓			✓	N
MN	Y					✓	✓				N
MO	N										N
MS	Y	✓	✓	✓			✓	✓		✓	Y
MT	Y	✓	✓	✓	✓	✓	✓			✓	Y
NC	Y	✓		✓			✓				N
ND	N										N
NE	Y	✓	✓	✓			✓	✓		✓	N
NH	N	✓	✓	✓			✓	✓			N
NJ	Y	✓	✓	✓	✓	✓	✓	✓			N
NM	Y	✓	✓	✓			✓	✓	✓	✓	Y
NV	Y			✓		✓	✓	✓			N
NY	N/A										N/A

Table E-2
Committee Responsibility for Changes

State	Whether Have Change Control Committee	Committee Representation					Committee Responsibilities				Whether Process Differs by Type of Change
		FSP	AFDC, Medicaid, General Assist.	MIS	Contractor	Other	Prt. Setting	Change Approval	Oversight	User Input	
OH	N/A										N/A
OK	N										N
OR	N										Y
PA	Y	✓	✓	✓		✓	✓	✓		✓	N
RI	N/A										Y
SC	N/A										N/A
SD	N										N
TN	Y	✓	✓	✓		✓	✓	✓		✓	N
TX	N						✓			✓	Y
UT	Y	✓	✓	✓			✓	✓	✓	✓	Y
VA	N										N
VT	Y			✓		✓	✓	✓			N
WA	N										Y
WI	Y	✓	✓	✓			✓	✓			N
WV	Y										Y
WY	Y	✓	✓	✓			✓	✓	✓	✓	Y

Table E-3
Methods for Communicating Changes Needed

State	How User Input Received by Change Control Committee				How FSP Notifies MIS of Required System Changes			
	Committee Membership	Proposals	Interaction with MIS	Other	Periodic Meetings	Written Customer Service Requests	Special Meetings	Informal Conversations
AK		✓	✓		✓	✓		✓
AL		✓		✓		✓	✓	✓
AR		✓						
AZ						✓		✓
CA				✓				
CO		✓		✓	✓	✓		
CT				✓	✓	✓	✓	✓
DC				✓	✓	✓		
DE				✓		✓	✓	✓
FL	✓	✓	✓			✓		
GA				✓			✓	
HI						✓		
IA		✓						
ID		✓	✓	✓		✓		✓
IL	✓	✓				✓	✓	✓
IN				✓		✓		✓
KS	✓	✓	✓			✓		

Table E-3
Methods for Communicating Changes Needed

State	How User Input Received by Change Control Committee				How FSP Notifies MIS of Required System Changes			
	Committee Membership	Proposals	Interaction with MIS	Other	Periodic Meetings	Written Customer Service Requests	Special Meetings	Informal Conversations
KY				✓	✓	✓	✓	
LA			✓		✓	✓		✓
MA			✓	✓		✓		
MD		✓		✓		✓		
ME			✓		✓	✓	✓	✓
MI	✓		✓	✓		✓		
MN			✓	✓	✓	✓	✓	✓
MO				✓		✓	✓	
MS	✓	✓	✓	✓		✓	✓	✓
MT	✓	✓			✓	✓		
NC				✓	✓	✓	✓	✓
ND				✓	✓	✓	✓	✓
NE	✓	✓		✓			✓	
NH				✓	✓	✓	✓	✓
NJ				✓	✓	✓		
NM	✓	✓		✓	✓	✓	✓	
NV				✓		✓		
NY								

Table E-3
Methods for Communicating Changes Needed

State	How User Input Received by Change Control Committee				How FSP Notifies MIS of Required System Changes			
	Committee Membership	Proposals	Interaction with MIS	Other	Periodic Meetings	Written Customer Service Requests	Special Meetings	Informal Conversations
OH								
OK			✓			✓		✓
OR			✓	✓	✓	✓	✓	
PA	✓	✓		✓		✓	✓	✓
RI			✓					✓
SC								
SD				✓	✓	✓		✓
TN	✓	✓			✓	✓		
TX		✓				✓		
UT	✓	✓		✓	✓	✓	✓	
VA				✓				
VT		✓		✓	✓	✓	✓	✓
WA						✓		
WI				✓	✓	✓	✓	✓
WV			✓	✓		✓		
WY		✓	✓	✓			✓	✓

Table E-4
Methods for Prioritizing, Reviewing, and Approving Changes

State	Who Reviews Changes				Who Approves Changes*	Criteria for Prioritizing Changes**	How/By Whom Changes Prioritized***
	Committee	MIS Staff	Contractor	Program Staff			
AK	✓				4	1	2
AL	✓				4	4	2
AR	✓	✓		✓	1	1	
AZ					3		6
CA		✓	✓			2	
CO		✓		✓	1	1	
CT	✓	✓				2	2
DC	✓				5	4	2
DE	✓	✓			2	4	2
FL		✓		✓	3	4	1
GA	✓	✓		✓	2	5	2
HI					4	4	1
IA	✓	✓		✓	1	4	2
ID	✓	✓		✓	1	4	3
IL	✓	✓		✓	4	1	2
IN					4	5	1
KS		✓		✓	1	1	1
KY	✓	✓		✓	3	1	1
LA		✓		✓	5	3	
MA		✓		✓	3	1	
MD	✓			✓	5	1	5
ME		✓		✓	4	1	2
MI		✓		✓	4	1	2
MN	✓			✓	2	5	2
MO		✓			3	1	3
MS	✓	✓		✓	1	1	2

Table E-4
Methods for Prioritizing, Reviewing, and Approving Changes

State	Who Reviews Changes				Who Approves Changes*	Criteria for Prioritizing Changes**	How/By Whom Changes Prioritized***
	Committee	MIS Staff	Contractor	Program Staff			
MT		✓	✓	✓	5	1	2
NC		✓		✓		4	
ND		✓		✓	1	1	2
NE	✓	✓		✓		1	
NH		✓		✓	5	1	2
NJ	✓	✓		✓	4	4	1
NM	✓	✓	✓	✓		1	2
NV		✓		✓		1	
NY					5		2
OH							
OK		✓		✓	1	1	1
OR		✓		✓	3	1	4
PA	✓	✓		✓	3	1	2
RI				✓	3	5	
SC							
SD		✓		✓	3	5	2
TN	✓	✓	✓	✓	4	4	2
TX		✓		✓	3	1	3
UT	✓	✓		✓	1	1	2
VA		✓		✓		1	
VT	✓	✓		✓	3	4	2
WA					3		3
WI	✓	✓		✓	3	4	2
WV		✓		✓	5	2	4
WY	✓	✓		✓	3	1	2

* Key for "Who Approves Changes" column:

- 1 = FSP Director
- 2 = MIS Management
- 3 = Director, Public Assistance Programs
- 4 = Change Control Committee
- 5 = Other

** Key for "Criteria for Prioritizing Changes" column:

- 1 = FSP Management Requirement
- 2 = MIS Application Management Requirement
- 3 = Data Center Management Requirement
- 4 = Change Control Committee Requirement
- 5 = Other Requirement

*** Key for "How/By Whom Changes Prioritized" column:

- 1 = During Program-Only Meetings
- 2 = During Program and MIS Meetings
- 3 = By Public Assistance Program Director
- 4 = By FSP Director
- 5 = By MIS Only

Table E-5
Staff and Monetary Resources

State	Availability of Following Resources for Making System Changes			Availability of Following Resources for Making Timely Mass Changes		
	In-house Staff*	Funding*	External Staff*	In-house Staff*	Funding*	External Staff*
AK	1	1		1	1	
AL	2	2		2	2	
AR	2	1	3	1	1	3
AZ	2	2		2	2	
CA	2	3	3	2	3	3
CO	3	3		3	2	
CT	1			1		
DC	2	1	3	2	1	3
DE	1	1	1	1	1	1
FL	1	2	3	2	2	3
GA	1	3	2	1	3	2
HI	2	2	2	2	1	2
IA	2	2	3	2	2	
ID	1	3	3	2	3	3
IL	3	3	3	3	3	3
IN	3	3		3	3	
KS	1	1	1			
KY	1	3	2	1	3	2
LA	2	1	3	2	1	3
MA	2	1	3	2	2	2
MD	1	2	1	0	2	1
ME	2	2	1	2	2	1
MI	3	3		3	3	
MN	1	3	3	1	3	3
MO	1	2		1	2	

Table E-5
Staff and Monetary Resources

State	Availability of Following Resources for Making System Changes			Availability of Following Resources for Making Timely Mass Changes		
	In-house Staff*	Funding*	External Staff*	In-house Staff*	Funding*	External Staff*
MS	2	2	3	2	2	3
MT	1	3	3	1	3	3
NC	1	3	3	1	3	3
ND	2	3		2	3	
NE	2	2	3	2	2	3
NH	1			1		
NJ	3	3		3	3	
NM	1	2	3	1	2	3
NV	3	2		3	2	
NY						
OH						
OK	2	2	3	1	2	3
OR	1	1	1	1	1	1
PA	1					
RI		2	2	2	2	2
SC						
SD	3	3		3	3	
TN	2	2	2			
TX	1	3	2	1	3	3
UT	2	2	2	2	2	3
VA	3			3		
VT	2	3		2	3	
WA	1	1	1	2	2	1
WI	2	3		2	3	
WV	1	1	2	2	2	1

Table E-5
Staff and Monetary Resources

State	Availability of Following Resources for Making System Changes			Availability of Following Resources for Making Timely Mass Changes		
	In-house Staff*	Funding*	External Staff*	In-house Staff*	Funding*	External Staff*
WY	1	2	3	1	2	3

*Key for referenced columns:

- 1 = Inadequate
- 2 = Marginal
- 3 = Adequate

APPENDIX F

LEVEL OF AUTOMATION AND FSP NEEDS TABLES

Table F-1
1992 FSP Performance Indicators

State	Number of FSP Cases (in thous.)	Avg. Admin. Cost per Household per Month	Error Rate	% Claims Collected (As % of Claims Established)
AK	14.3	\$47.73	8.32	65.8
AL	211.0	\$11.63	8.23	100.8
AR	102.5	\$11.32	7.47	77.5
AZ	167.4	\$9.57	13.35	51.6
CA	N/A	\$18.79	10.71	39.1
CO	103.3	\$9.12	7.79	49.9
CT	85.3	\$13.90	8.12	43.5
DC	32.0	\$17.34	10.56	61.7
DE	17.2	\$15.30	8.38	64.7
FL	542.8	\$8.14	19.68	56.6
GA	276.5	\$13.42	10.96	60.5
HI	38.8	\$17.02	3.85	62.2
IA	77.3	\$9.21	10.76	71.7
ID	26.5	\$14.01	7.18	65.1
IL	486.0	\$9.25	9.97	57.5
IN	172.7	\$11.09	13.56	104.3
KS	68.3	\$8.91	6.89	42.0
KY	201.3	\$11.46	4.85	80.7
LA	276.5	\$9.40	9.15	52.8
MA	182.4	\$9.87	7.38	37.7
MD	147.3	\$9.49	8.99	63.2
ME	62.4	\$8.46	8.43	51.8
MI	407.4	\$11.99	9.05	29.6
MN	130.0	\$14.53	10.48	24.0
MO	216.0	\$9.07	9.77	27.9
MS	198.0	\$7.76	10.08	87.1
MT	26.3	\$8.75	11.00	66.5

Table F-1
1992 FSP Performance Indicators

State	Number of FSP Cases (in thous.)	Avg. Admin. Cost per Household per Month	Error Rate	% Claims Collected (As % of Claims Established)
NC	240.4	\$10.83	8.89	70.2
ND	18.2	\$15.50	5.56	64.5
NE	43.4	\$10.33	9.21	47.5
NH	26.0	\$10.90	12.05	76.7
NJ	204.5	\$19.74	8.18	79.1
NM	76.6	\$11.44	8.55	35.8
NV	36.3	\$11.80	11.20	54.5
NY	866.0	\$13.16	11.20	43.9
OH	529.1	\$9.02	13.19	34.4
OK	136.2	\$11.87	8.92	55.6
OR	124.8	\$11.47	9.71	58.5
PA	520.8	\$13.85	8.13	38.1
RI	38.8	\$11.63	4.40	98.1
SC	132.5	\$11.64	9.00	61.6
SD	19.7	\$16.76	4.52	56.9
TN	286.2	\$9.58	13.12	83.0
TX	903.2	\$11.12	11.83	47.9
UT	46.2	\$16.15	7.25	68.5
VA	204.9	\$14.70	8.91	81.4
VT	24.2	\$12.83	6.39	36.0
WA	175.8	\$13.89	11.73	36.4
WI	131.1	\$15.56	9.32	67.6
WV	118.9	\$4.43	10.64	50.4
WY	12.6	\$19.59	8.65	77.8

APPENDIX G

STATE SYSTEM PROFILES

The following page provides an example of the State Automation Study System Profile summary. System Profile summary pages for all States and the District of Columbia will be presented in the final version of the report.

ARIZONA SYSTEM PROFILE

As of March 12, 1993

System Name: Arizona Technical Eligibility Computer System (AZTECS)/AZTECS MOD

Programs Supported: Food Stamp Program, Aid to Families with Dependent Children

Start Date: October 1985 (AZTECS)
January 1990 (AZTECS MOD)

Completion Date: June 1988 (AZTECS)
June 1993 (AZTECS MOD)

Contractor: Systemhouse, Inc. (AZTECS)
In-house development (AZTECS MOD)

Transfer From: Alaska (EIS)

Cost:

Total Actual System Development Cost:	\$18,814,946
Initial Projected Cost:	\$ 8,761,000
FSP Share:	\$12,460,363
FSP %:	66.2%

Basic Architecture:

Host/Mainframe:

CPU:	Hitachi EX/100, Hitachi EX/80 (testing)
Operating Systems/Software:	MVS/ESA, CICS, ADABAS, ACF2

Distributed/Local:

Workstations:	IDEA/Courier - 3270 type
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Telecommunications Approach: Dedicated SNA/SDLC with 4.8 or 9.2 KB circuits; connected to Phoenix via analog leased lines

Current Activities and Future Plans:

- Replace the EX/80 with a Hitachi GX 8310 in the middle of 1993
- Replace the IBM 3380 DASD with Hitachi 7390 DASD
- Implement DB2 for some Department of Labor application efforts and make it available for consideration by other database users for future projects

Remarks: